

**WORKSHOP I  
CREDIBLE DETERRENCE**



**Stephen Glynn**

***Director and Head of Enforcement, Dubai Financial Services Authority***

**Mr Stephen Glynn** is the Senior Director and Head of the DFSA's Enforcement Division. He has extensive experience in the regulation of financial and capital markets, financial services & products and listed & unlisted companies.

As a member of the DFSA's executive management team he contributes to the strategic direction and management of the authority.

Stephen's portfolio of responsibilities include regulating and enforcing compliance with prudential and conduct of business obligations within the Dubai International Financial Centre.

He has extensive experience applying administrative, civil and criminal remedies in domestic and cross border investigations. His particular areas of expertise include corporate governance, capital markets, mutual funds, risk management, fraud, AML, securities and financial services regulation.

Stephen is presently a member of IOSCO's Committee 4 which deals with Enforcement and the Exchange of Information.

Stephen was formerly employed in various senior positions with the Australian Securities and Investments Commission (ASIC), having responsibility for several divisions including, Markets and Investments, Managed Investments, Financial Services Regulation, Corporate Investigations and Financial Analysis.

He is a forensic financial analyst and a former member of the Investigations Committee of the National Council of Certified Practicing Accountants (CPA) Australia.

Before joining the DFSA Stephen was the Managing Director of Financial Services Compliance, a consultancy providing compliance and risk management services to the Australian financial services industry.

Stephen has both Bachelor and Master's degrees from Australian Universities.