

# Paul Grainger Expert CV

## Professional & Academic Qualifications

- Chartered Fellow of the Chartered Institute of Securities & Investment – Chartered FCSI
- Chartered Wealth Manager
- Certified Financial Planner – CFP
- Associate of the Personal Finance Society – APFS
- European Financial Planner - EFP
- Member of the Institute of Risk Management
- Pension Transfer Specialist
- Training & Competence Assessor
- Bachelor of Arts (Dual Honors) – BA (Hons)

## Major Expert Witness Assignments

### **2021-2022 Instructed by ERSOU**

I was instructed to provide expert investigation and opinion to assist the joint Special Operations Unit of a group of regional police forces in their investigation of a financial scam and fraud case.

### **2021-2022 Instructed by APJ Solicitors**

I was instructed to provide expert opinion on litigation issues relating to a pension transfer to an overseas pension arrangement.

### **2021-2022 Instructed by Criminal Assets Bureau (Ireland)**

I was instructed to provide expert opinion on issues relating to payment services and banking practices in relation to money laundering and financial crime.

### **2021 Instructed by Keystone Law**

I was instructed to provide expert opinion on issues relating to the international payments system in a case relating to a financial fraud.

### **2021 Instructed by Cripps LLP & Dentons UK & Middle East LLP (Single Joint Expert)**

I was instructed as a Single Joint Expert to provide expert opinion on issues relating to the remuneration of a company director. My instructions related to advising on the market rates for remuneration and employee benefits for a shareholder director of a private limited company operating in a specialist industry. As part of my instruction, I was requested to estimate current and historical remuneration and benefits value for a period of 10 years.

### **2021 Instructed by Smith Partnership**

I was instructed to provide expert opinion on issues relating to the quantum of loss in a case relating to a financial fraud scam.

### **2019-2020 Instructed by RPC**

I was instructed by a leading law firm in a case involving an appeal to a Tax Tribunal. My instructions related to describing the use of derivatives contracts and derivatives financial instruments as part of an investment strategy or investment portfolio to hedge risk or to create gains and the potential for these contracts and instruments to produce significant losses.

### **2017 Instructed by In-House Counsel**

I was instructed by In-House Counsel of a major national firm of Independent Financial Advisers (IFAs). The firm was the defendant in a litigation case between a former client and the firm of Independent Financial Advisers (IFAs). The case related to the appointment and supervision of Appointed Representatives as well as the scope of regulatory permission. The case was settled out of Court in 2018.

### **2015 Instructed by McCormicks Solicitors**

I was instructed in a litigation case involving alleged financial services fraud. My instructions were to prepare expert opinion on the nature of regulatory activities carried out and an expert report relating to a fraudulent investment scheme. The case went to trial in 2016.

### **2014 Instructed by Gateley & FBC Manby Bowdler (Single Joint Expert)**

I was instructed in a litigation case between two firms of financial advisers relating to the transfer of a business and potential liabilities arising from alleged non-compliance with regulatory requirements. My opinion was required relating to the nature and scale of the alleged non-compliance. The case was listed for trial in the summer of 2016 but was settled out of Court.

**2014 Instructed by Russell Cooke.**

I was instructed in a litigation case between a private client and a major firm of financial and investment advisers. My opinion was required relating to unsuitable advice and actions leading to potential loss of a significant capital sum. The case settled out of Court in the summer 2015.

**2013 Instructed by Foot Anstey.**

I was instructed in a litigation case between a private client and Zurich Assurance Group. My opinion was required relating to unsuitable advice and actions leading to potential loss of pension tax protection. The case settled out of Court in spring 2014.

**2013 Instructed by Patrick J Taylor.**

I was instructed in a litigation case between a small self-administered pension scheme (SSAS) member and a pension scheme adviser and administrator. My opinion was required relating to unsuitable advice and actions leading to potential loss of pension tax protection. The case settled out of Court.

**2008-09 Instructed by Osborne Clarke (Litigation Dept.)**

I was instructed in a major litigation case between the Financial Services Compensation Scheme and NDF Administration. My opinion was required relating to unsuitable sales of and misleading promotional materials for financial products. The case was settled out of court following delivery of expert reports.

**2007 Instructed by Osborne Clarke (Employment Dept.)**

I was instructed in a major Employment Tribunal case between a senior banker and a major Japanese bank. My opinion was required relating to allegations of non-compliant practices in capital markets transactions. I appeared at the Tribunal as a witness and was subjected to cross-examination.

**2003-06 Instructed by Institute of Chartered Accountants in England and Wales (ICAEW Professional Standards Dept.)**

I was instructed by the Professional Standards Department to provide lead opinion and expert reports in several disciplinary cases against ICAEW members, involving investment business transactions or advice. (I was asked to give an opinion on the suitability of investment advice and transactions under the ICAEW Investment Business Regulations and the Financial Services Act 1986.) The cases involved expert reports, appearing at a Disciplinary Tribunal as a witness and cross-examination.