The regulatory landscape for the financial services industry in Asia Pacific has never been more challenging than it is today. Regulatory change and enforcement action continue apace, with a particular focus on holding individuals and particularly senior managers to account. Greater co-operation between regulators, through amongst other things formal memoranda of understanding and supervisory colleges, is leading increasingly to both supervisory matters and investigations affecting firms in multiple jurisdictions.

This guide is designed to help firms navigate these issues by providing an accessible and concise overview of the regulatory regimes in 14 key Asia Pacific jurisdictions, including:

- the identity, jurisdiction and powers of key financial services regulators
- key issues arising out of regulatory investigations and enforcement actions
- obligations to self-report breaches and other matters to financial services regulators
- cross-jurisdictional cooperation between financial services regulators
- significant upcoming regulatory reforms

The guide has been compiled by our network of Herbert Smith Freehills regulatory specialists, with the assistance of local counsel in certain jurisdictions, led by Will Hallatt and Valerie Tao. To request a copy of the guide, please click here.
KEY CONTACTS

If you have any questions, or would like to know how this might affect your business, phone, or email these key contacts.

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