

GUIDE TO FINANCIAL SERVICES REGULATION IN ASIA PACIFIC

26 May 2016 | Australia, China, Hong Kong, India group, Jakarta, Tokyo, Seoul, Singapore, Bangkok, Brisbane, Melbourne, Perth, Sydney, South East Asia
Guides - By **Will Hallatt** and **Valerie Tao**

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.



WILLIAM HALLATT
PARTNER, HEAD OF
FINANCIAL SERVICES
REGULATORY, ASIA,
HONG KONG
+852 21014036
William.Hallatt@hsf.com



ANDREW PROCTER
PARTNER, LONDON

+44 20 7466 7560
Andrew.Procter@hsf.com



LUKE HASTINGS
PARTNER, SYDNEY

+61 2 9225 5903
luke.hastings@hsf.com



**SIDDHARTHA
SIVARAMAKRISHNA
N**
PARTNER,
SINGAPORE
+65 6868 8078
siddhartha.sivaramakrishnan@hsf.com

LEGAL NOTICE

The contents of this publication, current at the date of publication set out above, are for reference purposes only. They do not constitute legal advice and should not be relied upon as such. Specific legal advice about your specific circumstances should always be sought separately before taking any action based on this publication.

© Herbert Smith Freehills 2020

SUBSCRIBE TO STAY UP-TO-DATE WITH LATEST THINKING, BLOGS, EVENTS, AND MORE

Close