

# GOVERNANCE AND RISK MANAGEMENT

HELPING YOU TO CREATE THE BEST FRAMEWORK TO MANAGE RISK  
EFFECTIVELY

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Regulatory expectations on firms' governance and risk management models continue to increase, alongside the focus on individual accountability that can only be met by sound policies and procedures.

Designing effective models can only be done with a clear understanding of the laws and regulations that shape the operating environment.

We draw on our diverse experience of observing both good and sub-optimal governance and risk management for a broad range of financial services clients across the world. We've advised many clients on these issues and have assisted others in addressing the consequences of sub-optimal practice. This is reflected in our approach, which is based around proven 'real-world' solutions to meet regulatory needs and be workable in practice.

## **RELATED CONTENT**

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Our integrated financial services regulatory team spans over 25 countries across Europe, North America, Asia Pacific and the Middle East. Many of our team members have previously held senior in-house roles within both regulators and global financial institutions, giving us genuine insight into the pressures and challenges you face.

We go beyond theory. We get into the detail and partner with our clients to design and implement governance and risk management arrangements that will meet the test of clear responsibility, accountability and effective oversight.

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## **RECENT EXPERIENCE**

### **SIR ANTHONY SALZ**

Advising in relation to his independent review of culture and business practices at Barclays (leading to publication of the “Salz Review”) and separately advising Sir Christopher Kelly in relation to his independent review into the events leading to the Co-operative Bank’s capital shortfall (“Kelly Review”)

### **AUSTRALIAN BOARD OF A GLOBAL ASSET MANAGEMENT COMPANY**

Providing training for the Australian board of a global asset management company in relation to the use of delegation models, limits on the ability to rely on others and the impact of the Centro case, and implementing reporting and monitoring processes

### **EUROPEAN (NON-EU) BANK**

Advising a non-EU-headquartered global wholesale bank on material aspects of its UK corporate governance structure and framework

## GOVERNANCE ARRANGEMENTS

Advising a major Australian financial institution to enhance its governance arrangements, in conformance with an undertaking provided to ASIC

## LARGE UK BRANCH OF AN EEA-HEADQUARTERED BANK

Advising on the effectiveness of its governance arrangements, including in relation to subsidiaries

## OUR PEOPLE



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