

MARKET CONDUCT

UNDERSTANDING, PREVENTING AND ADDRESSING RISK IN FINANCIAL MARKETS

Following recent high-profile investigations and severe penalties in relation LIBOR, EURIBOR and FOREX manipulation, regulators across the globe continue to scrutinise conduct in the financial markets closely, taking immediate action where failings are discovered.

Extensive upcoming regulatory change in this area means that financial institutions must review and update procedures, policies, systems and controls.

With a proven track record working in multijurisdictional and multidisciplinary teams, we advise our clients on their most complex and sensitive matters, many of which carry significant reputational risk. We can help prevent and respond to adverse market conduct events using our world-class knowledge and understanding of global regulators, emerging cross-jurisdictional regulatory themes, and lessons learned from relevant enforcement activities.

We often advise clients on managing conflicts of interest, control of information flows, market abuse risk and compliance management, reviewing allocations of responsibilities, regulatory gap analysis, updates to policies and procedures, design and delivery of training, responding to regulatory action and representation on criminal and civil enforcement.

Our integrated financial services regulatory team spans over 27 offices with many of the team having worked in senior in-house roles within both regulators and global financial institutions.

EXPERIENCE HIGHLIGHTS

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Advising in relation to landmark insider trading prosecution in Australia concerning the operation of Chinese Walls and conflict management

TWO GLOBAL FINANCIAL INSTITUTIONS

Advising in connection with separate and unrelated Hong Kong SFC investigations into high-frequency and algorithmic trading and Hong Kong's market misconduct rules

A GROUP OF TRADERS

Advising in enforcement proceedings brought by the French AMF for alleged market manipulation

INVESTIGATION INTO UNAUTHORISED TRADING

Advising the private wealth management arm of a US international investment bank on a Hong Kong SFC investigation into unauthorised trading and presentation of false and misleading information on a client's investment portfolio positions

RANGE OF FINANCIAL INSTITUTIONS AND RELATED INDIVIDUALS

Advising different clients in relation to the global multi-agency investigations into benchmark rate and interest rate manipulation in the US and UK, involving both regulatory and criminal aspects as well as concurrent enquiries and legal processes

OUR PEOPLE



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