



ROWAN PLATT

SENIOR ASSOCIATE (AUSTRALIA)

[London](#)

Rowan specialises in financial services regulatory work, with an emphasis on contentious matters.

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BACKGROUND

Rowan holds a Bachelor of Laws and a Bachelor of Arts from Macquarie University, Sydney. Rowan is admitted to practice as a solicitor in New South Wales, Australia.

Before joining HSF, Rowan was an associate in the Dispute Resolution team at a leading Australian law firm for 4 years.

KEY SERVICES

[Compliance Advisory](#)
[Enforcement and Investigations](#)

KEY SECTORS

[Asset and Wealth Management](#)
[Banks](#)

EXPERIENCE

Rowan has acted for a number of financial institutions in relation to regulatory investigations, in particular FCA enforcement investigations. He has also assisted clients with managing skilled persons' reviews, internal investigations, responding to the Ombudsman in relation to customer complaints, and the preparation of regulatory attestations. He also advises clients on compliance with their regulatory requirements and governance issues, including individual accountability.

Rowan has also recently spent time on secondment to a major retail bank, assisting with an internal review and subsequent enforcement action concerning mortgage arrears and forbearance processes. He was also previously seconded to the compliance team at a major Australian retail bank, where he was involved in an internal review of selling practices in relation to certain insurance products and the implementation of new systems, controls and training.

Rowan's experience includes advising:

- providing a bank with advice into potential FCA Enforcement investigation and complaints handling (including complaints to the Financial Ombudsman Service). The issue relates to a payment waiver product connected with credit cards
- a major insurance broker, on a regulatory compliance review of a number of insurance facilities
- an individual under FCA investigation for alleged oversight failings in respect of systems and controls
- a large UK retail bank in relation to a six year criminal investigation regarding two former senior employees with regard to fraud and corruption offences
- a global investment bank on an internal investigation into potential manipulation of FX benchmark rates, including subsequent disciplinary proceedings in respect of individuals