




## WILLIAM HALLATT

PARTNER

Hong Kong

William Hallatt has over a decade of experience in advising on financial regulatory matters, covering both contentious and non-contentious issues.

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## BACKGROUND

Prior to his return to the region in early 2014, William spent two years working in Hong Kong from 2008 to 2010, including six months as a secondee to a major investment bank. He has also been seconded to the London legal and compliance team of another global investment bank on two separate occasions.

William joined Herbert Smith Freehills as a partner in early 2014.

## KEY SERVICES

Financial Services Regulatory  
Dispute Resolution

## KEY SECTORS

Banks  
Banks and other Financial Institutions

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## EXPERIENCE

His clients comprise investment banks, wholesale and retail banks and other financial institutions, including private wealth managers, hedge funds, investment managers and private equity firms. William has broad experience in advising clients in Hong Kong, Europe and the UK on areas including governance structures, systems and controls and conduct of business issues. William also advises extensively on the application and impact of Hong Kong market misconduct provisions and the UK / European market abuse regimes, together with anti-money laundering and terrorist financing requirements.

William has particular expertise in contentious regulatory matters, including enforcement proceedings and acting as a section 166 skilled person under the Financial Services and Markets Act. William has also conducted numerous internal investigations, in particular reviews of governance arrangements and Firm's systems and controls in the context of Hong Kong, European and UK regulatory requirements and expectations.

His experience includes:

- advising a large Chinese financial institution in relation to an enforcement investigation by the SFC into potential market misconduct offences
- advising an international investment manager with respect to enforcement proceedings brought by the SFC in connection with alleged systems and controls failings
- conducting an internal investigation for a leading global financial institution into potential systems and controls failings
- carrying out an internal investigation for a Hong Kong based financial institution in connection with enforcement proceedings being brought by a regulator outside Hong Kong
- advising a leading global investment bank in connection with enforcement proceedings being brought by the SFC in the context of an aborted IPO