

FINANCIAL SERVICES REGULATORY

HELPING YOU TO INTERPRET, INFLUENCE AND COMPLY WITH GLOBAL REGULATION

In recent years there has been an unprecedented level of regulatory reform globally, regionally and nationally across financial services.

The myriad of highly complex new regulations, increasingly intrusive and coordinated regulators, and severe penalties for compliance failures or poor conduct, has a significant impact on regulated firms' strategy and operations - a state which shows no sign of changing in the foreseeable future.

We have a deep knowledge and understanding of the regulations themselves, and of the regulators who devise and enforce them. We are genuine specialists in this field, and act as trusted advisors to our clients, providing advice that showcases our technical expertise and practical commercial outlook.

We help our clients solve their most complex and sensitive national and international regulatory challenges (both proactive and reactive). Our world-class team is represented across our global network spanning Europe, North America, Asia-Pacific and the Middle East.

Our expertise covers the full spectrum of regulated firms' key issues including regulatory change, enforcement and investigations, governance and risk management, compliance advice, market conduct, complaints handling, financial crime and the regulatory aspects of transactions or restructurings. Supporting this is our groundbreaking document handling and review operation which utilises sophisticated predictive coding to swiftly identify key documents across high volumes of information in a systemised and cost-effective way.

ACCOLADES

HSF recognised as a Tier 1 firm for Financial Services - Contentious. The team at Herbert Smith Freehills LLP is praised by one client as '*pragmatic and decisive, underpinned by excellent knowledge and leadership*', with a team made up of lawyers with experience in-house at the regulators and in financial institutions - **Legal 500 2022, UK**

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RECENT EXPERIENCE

A GLOBAL INSURANCE GROUP

Advising in relation to a regulatory investigation and enforcement action, as well as associated regulatory advice, originating in Asia but also covering several major European financial centres

A FRENCH BANKING GROUP

Advising in relation to the competition related aspects of its regulatory policies and training in light of the transfer of competition powers to the UK regulators from April 2015 onwards, involving offices in London, Paris and Brussels

AN ASIAN-BASED GLOBAL FINANCIAL SERVICES CONGLOMERATE

Advising on a variety of regulatory matters including investigations and enquiries, compliance advisory work, governance advice and supporting IPO or M&A activity spanning Asia, Australia, the US and UK

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

A GLOBAL BANKING GROUP

Advising on the largest, highest profile corruption and financial services regulatory investigation currently underway, involving advice across 8 jurisdictions

OUR PEOPLE



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