



HERBERT  
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## ANDREW PROCTER

PARTNER

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Andrew is a financial services and risk expert.

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## KEY SERVICES

Financial Services Regulatory  
Crisis Prevention and Management

## KEY SECTORS

Banks  
Financial Institutions

## EXPERIENCE

He advises multinational clients on their most important strategic regulatory and risk issues with uniquely strategic judgement drawn from leadership roles in regulators, inhouse and private practice.

As part of the Financial Services Regulation team which is top tier-ranked by International Financial Law Review, Andrew helps regulated clients to navigate their complex and rapidly-changing world.

He works with clients on establishing governance, compliance and legal risk frameworks, implementing new regulation, mapping senior manager responsibilities, and conducting external and internal investigations.

Andrew's senior in-house and regulator roles include:

- Global Head of Compliance, Government and Regulatory Affairs at Deutsche Bank
- Director of Enforcement at the UK Financial Services Authority
- Executive Director of the Intermediaries and Investment Products Division at the Hong Kong Securities and Futures Commission
- Head of Enforcement at the Australian Securities Commission

He has been involved in the development of regulatory policy at a global and European level including as a member of:

- European Banking Authority Stakeholder Group
- EC Group of Experts in Banking Issues
- CESR MiFID Level 3 Consultative Working Group
- EC European Securities Markets Experts Group
- FSF Working Group on the Implementation of Financial Markets Principles and Standards
- Committee on Implementation of IOSCO Objectives and Principles of Securities Regulation

Andrew's experience includes advising:

- A number of banking groups on preparation for, and implementation of, the UK Senior Managers and Certification Regime

- A global financial institution on material aspects of its UK corporate governance structure and framework
- An international insurer on a review of effectiveness of board risk
- A multi-jurisdictional bank and large UK broker on conduct risk mapping
- A challenger bank on their authorisation process and start up requirements

## **LATEST INSIGHTS**