

# COMPLIANCE ADVISORY

HELPING YOU TO ANTICIPATE AND COMPLY WITH EVER-CHANGING REGULATION

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As regulatory regimes become ever more complex and international, managing cross-border compliance and risk is increasingly important to financial institutions. Failure to do so is likely to result in reputational damage and severe penalties for both institutions and individuals.

We guide our clients through the challenges of compliance – current and future, strategic and operational – across all major geographies and provide world class insights on emerging regulatory trends, expectations and requirements.

Many in our integrated financial services regulatory team members have worked in senior in-house roles within both regulators and global financial institutions, so we understand the challenges you face managing regulatory risk within and across jurisdictions, and the importance of finding practicable solutions.

Through our work with many of the leading financial firms, we know what market best practice is and maintain up to date intelligence on regulatory developments through our close contact with regulators and our proactive involvement in the framing of regulatory policy and new rules.

## RELATED CONTENT

[FSR AND CORPORATE CRIME NOTES](#)

[BANKING LITIGATION NOTES](#)

[FS DISPUTES & REGULATORY PODCAST](#)

Our integrated financial services regulatory team spans over 25 countries across Europe, North America, Asia Pacific and the Middle East.

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## RECENT EXPERIENCE

### **A GLOBAL ASSET MANAGER**

Providing Board-level training in Australia on the use of delegation models, limits on the ability to rely on others and the impact of the Centro case, and implementing reporting and monitoring processes

### **TWO SOUTH EAST ASIA SOVEREIGN WEALTH FUNDS**

Advising on the regulatory aspects of setting up a UK office, including training for staff in the UK, Middle East, Asia, US and Latin America

### **AN ASIAN-HEADQUARTERED GLOBAL FINANCIAL SERVICES CONGLOMERATE**

Advising on a variety of regulatory compliance matters including advice on upcoming regulatory reforms, regulatory obligations, governance structures, investor complaints and regulatory audits spanning Asia, Australia, the US and UK

### **A NUMBER OF BANKING GROUPS**

Advising on the preparation for, and implementation of, the UK Senior Managers and Certification Regimes

## TWO GLOBAL FINANCIAL INSTITUTIONS

Advising on their implementation of the EU Transparency Directive



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