

REGULATORY CHANGE

STAYING ON TOP OF A RAPIDLY-EVOLVING LANDSCAPE

The pace of regulatory change is unprecedented, yet regulators still expect regulated firms to effectively track and implement new regulation.

This can be daunting, often requiring scarce resources to examine in minute detail a mass of text to understand not only the 'letter of the law' but also the scope and impact to the business. Even relatively straightforward reform can involve a significant risk of change needing to be managed.

We provide world-class advice and assistance on regulatory change – regardless of whether it needs to be implemented in many jurisdictions or only one. We generate clear, commercial and actionable insights for our clients in response to complex, dynamic and high-impact reforms.

We analyse new regulations in the context of your business model to ensure you can assess the strategic implications of the proposal. We then work with you to identify and develop the infrastructure, policy, procedure, documentation and training necessary to ensure compliance.

RELATED CONTENT

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Our integrated financial services regulatory team spans over 25 countries with many of the team having worked in senior in-house roles within both regulators and global financial institutions.

RECENT EXPERIENCE

MAJOR AUSTRALIAN RETAIL BANK

Advising in relation to future trends with respect to the compliance framework and the 'three lines of defence' model

LEVERAGED EQUITIES

Advising a subsidiary of Bendigo & Adelaide Bank in Australia, on revisions to its margin lending documents and procedures to comply with new margin lending obligations in the Corporations Act

A RANGE OF FINANCIAL (AND NON-FINANCIAL) INSTITUTIONS

Advised on the implications for business and the practical implementation of new regulation including the Retail Distribution Review (RDR), European Market Infrastructure Regulation (EMIR), Alternative Investment Fund Managers Directive (AIFMD), Revision of the Markets in Financial Instruments Directive (MiFID II), and others

NUMEROUS AUSTRALIAN FINANCIAL INSTITUTIONS

Advised on the Future of Financial Advice (FOFA) reform

A NUMBER OF BANKING GROUPS

Advised on the implications and practical implementation of the senior managers regime in the UK

OUR PEOPLE



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