

# TRANSACTIONS REGULATORY SUPPORT

## CLOSE THE DEAL AND MEET YOUR OBLIGATIONS

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Regulatory compliance risk is an increasingly key value and execution factor in financial sector transactions.

Working with our world-class M&A team, we handle complex, high-value and innovative transactions, guiding clients on managing regulatory risk across multiple jurisdictions.

We work with financial institutions, buyers and sellers on public and private mergers, acquisitions and corporate restructurings (domestic and cross-border) and advise them how to cover compliance risk allocation in transaction documentation, and how to manage regulatory notifications and approval processes to achieve timely execution of deals.

### RELATED CONTENT

[FSR AND CORPORATE CRIME NOTES](#)

[BANKING LITIGATION NOTES](#)

[FS DISPUTES & REGULATORY PODCAST](#)

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. We are well-placed to identify and advise on key regulatory issues, assess and prioritise those risks, and develop practical solutions which are consistent with transaction objectives and timetables.

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## RECENT EXPERIENCE

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### **CAZENOVE CAPITAL**

Advising on its acquisition by Schrodgers for £424 million including regulatory advice and coordination of the change of control process in the UK, Jersey and Hong Kong

### **DEUTSCHE BANK ASSET & WEALTH MANAGEMENT**

Advising on the outsourcing to Bank of New York Mellon of direct real estate and infrastructure fund finance, fund accounting, asset management accounting, and client and financial reporting functions, representing roughly \$46.3 billion in assets under administration

### **TSB BANKING GROUP**

Advising on its separation from Lloyds Banking Group, the negotiation of its on-going service arrangements with Lloyds, its IPO, and all regulatory aspects of the £1.7 billion takeover offer by Banco Sabadell

## INVESTEC BANK (AUSTRALIA)

Advising in relation to its applications to the Australian Treasurer and APRA for approval to acquire, and then merge with, NM Rothschild Australia, as well as associated licensing and other regulatory issues

## OUR PEOPLE



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