

Caroline Walters

Director - Hogan Lovells Financial Services
Regulatory Consulting
London

Biography

Caroline has over 25 years experience in financial services during which time she has developed a reputation for providing pragmatic, insightful advice and support drawn from her experience as a Director in a global Bank and a top 4 consulting firm, working across predominantly financial services as well as energy and telecoms. She has delivered a variety of complex projects which have resulted in the successful design and delivery of new products, sales processes, remediation, complaints improvement and all aspects of conduct risk and strategy.

Caroline frequently works with firms to determine and mitigate key regulatory risks or deliver practical solutions where risks have crystallised. She is relied upon to provide balanced advice that takes account of both the regulatory and commercial objectives of clients.

Representative experience

Oversight and challenge of new and existing products to ensure alignment to risk and conduct appetite.

Leading, designing, resourcing and delivery of large scale customer contact projects.

Design and delivery of proportionate risk and



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Practices

Financial Services Regulatory
Consulting

Industries

Financial Institutions

Areas of focus

Complaints Management

Food Compliance and Enforcement

Compliance Readiness

Consumer Finance

Dealing with Financial Services
Regulators

governance frameworks.

Latest thinking and events

- Insights
 - Vulnerable customers: The norm rather than the exception
- News
 - Operational resilience: a new area of regulation you need to think about now
- News
 - PISPs-AISPs: get on the path to successful FCA authorisation
- News
 - A seamless approach to SMCR
- News
 - The FOS regime – changes in scope – some you win, some you lose!

Dealing with Insurance Regulators

IERP Dispute Resolution

Governance

Outsourcing

Product Development and Approval

Regulatory Change Management

Regulatory Due Diligence

Remediation

Senior Managers and Certification Regime (SM&CR)

Training and Coaching
