

Regulatory Due Diligence

Robust regulatory due diligence helps you to understand the potential and actual risks involved when entering into a business relationship with the target financial institution, the likelihood of these risks materializing, and the potential impact on your business.

If you don't properly understand the potential and actual risks involved in a new business relationship, the consequences can be severe. Robust regulatory due diligence helps you detect, manage, and mitigate these risks.

Our team of regulatory compliance specialists have in-depth industry knowledge, coupled with experience in risk identification and management. This makes us uniquely placed to evaluate the actual and potential risks to your business in line with regulatory standards.

The collaboration between our regulatory consulting and legal practice removes the risk of gaps created by the hand-off between legal and operational due diligence and assessment.

Our due diligence reviews cover the following areas:

- Developing an understanding of your business strategy and risk appetite
- Analyzing the key regulatory risks inherent in the products, services, and customer base
- Performing a current state and future state assessment
- Diagnosing the presence of current and historical issues
- Reviewing business conduct and compliance documentation

Contacts

Jenny Steven,
London

Caroline Walters,
London

Lisa Davey,
London

Hannah Vickers,
London

Practices

Financial Services Regulatory
Consulting

- Reviewing risk and governance frameworks
- Assessing acquisition from a financial crime risk perspective
- Considering allocation of responsibilities particularly in relation to the Senior Managers and Certification Regime (SM&CR)
- Reviewing outsourcing arrangements and procedures for monitoring outsourced service providers
- Designing systems and controls to manage, mitigate, and monitor inherited risks

Representative experience

Assisting with large-scale due diligence, investigation, and reviews for all types of transactional activity.

Supporting and advising in respect of compliance and conduct risk reviews in preparation for regulatory visits and information requests.

Analysis of historical client files at a targeted client, both sales and complaint related, to ascertain the potential inherent risks.