

Financial Services Regulatory Consulting

Hogan Lovells now offers a fresh approach to navigating complex financial services regulation, marrying our legal insight with the knowledge of experienced regulatory consultants.

Financial institutions face an increasingly complex array of regulatory requirements. These demands, combined with significant operational challenges, mean that firms often feel the need to turn to multiple advisers for help.

Our Financial Services Regulatory Consulting team work alongside our legal colleagues to help you solve your challenges. We know that each stage of a project's life cycle needs a certain skill set. We can call on the right people to guide you every step of the way.

Our unified team is fully equipped to deal with every aspect from advice to implementation, letting you skip the juggling act. We build a team designed to tackle each particular issue, drawn from a panel of experienced advisors featuring:

- senior compliance and risk professionals
- top-tier regulatory lawyers
- ex-regulators
- former operational directors
- experienced project managers

Spotting the issue. Identifying the solution. Clearing the roadblocks.

We manage and coordinate all aspects of the project from start to finish, allowing you to focus on running your business. Powered by the expertise and deep resources of Hogan Lovells and the experience of specialists in a range of disciplines, we offer a unique perspective.

Knowing the regulators

With team members who have worked for the FCA (and previously the FSA), we know how they operate.

Understanding your business

Our first-hand experience of working in-house means our team is familiar with the scale of the challenges faced by large, global organisations and the problems presented by legacy systems.

Delivering change

Our team has led business transformations and worked with a range of institutions going through regulatory and structural change. We deliver progress, not PowerPoints.



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How we can help

Each project is an opportunity to improve your business. We work with banks, building societies, insurance companies, wealth management firms, payment services providers and asset managers to deal with regulatory issues of all shapes and sizes.

We can assist you with:

- Regulatory authorisation and variation of permission
- Innovative product design and development around FinTechs and RegTech
- Advice on impending and future regulatory change
- Remediation programme design and implementation
- Preparation, application and interview support for Approved Persons
- Independent legal, compliance and conduct risk reviews
- Regulatory change programme implementation
- Section 166 Skilled Person's Reports support
- Preparation for regulatory visits and information requests
- Large-scale due diligence for transactions

www.hoganlovells.com

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