

Regulatory Due Diligence

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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

Contacts

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Practices

Financial Services
Regulatory
Consulting

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
- 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.

Latest thinking and events

Media mention

Transparency of Beneficial Ownership Clashes With UK Privacy Laws

Sponsorships and Speaking Engagements

2022 Association of Corporate Counsel Annual Meeting | ESG 360° Workshop: Assessing, Understanding, and Improving Your ESG Performance