

Securities and Financial Regulatory Advice

Securities and financial regulatory matters are becoming increasingly complex. Regulators are getting tougher. You need a strategy.

We advise on all aspects of compliance with securities laws around the globe, corporate finance, capital-raising, and corporate law. With inquiries from the U.S. SEC. The DOJ. The FINRA. The ESMA. The UK FCA. From AIM Regulation. The SFC and the Hong Kong Stock Exchange. We work closely with trade bodies across Europe such as the AFME. And other governmental and regulatory authorities around the world. With regard to PCAOB compliance and enforcement.

We'll give you practical advice on dealing with the regulators.

Representative experience

Our team includes lawyers who formerly held high-level positions with the SEC.

Our London and European teams include people who have spent substantial time in their careers on secondment to the FCA and European regulators.

We have close connections to the UK Takeover Panel through providing a long-term secondee.

Latest thinking and events

[Press releases](#)

Contacts

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Practices

[Capital Markets](#)

Hogan Lovells advises Citigroup on inaugural consumer loan asset backed securitization of AUTO1 Group

Press releases

Hogan Lovells advises BNP Paribas on ABS financing of online used car retailer Cazoo

Webinar

A Year of Corporate Governance - ESG Webinar Series

Hogan Lovells Publications

Hong Kong and the cauldron of compliance

Investigations, White Collar Crime, and Fraud Alert

Hogan Lovells Publications

The SFC's enforcement priorities for 2018

Hogan Lovells Publications

What's next for robo-advice? The SFC consults on the proposed guidelines on online distribution and advisory platforms