

## Nick Oxley

Principal Consultant  
London

### Biography

Nick has over 25 years experience gained across a range of financial services firms of all sizes. He has extensive regulatory knowledge and experience in policy, assurance, governance & control at all levels, which is utilised in an individual way to provide considered and pragmatic views in operational design, build implementation and oversight roles, which supports firms in translating regulatory requirements into real life business environments.

Nick's clients range from large retail, commercial, private and investment banks, insurance firms & brokers, independent financial advisers through to high growth start-ups. These skills and experience, although gained within financial services sector can be readily transferable to other regulated sectors.

### Representative experience

Design & implementation of an insurance broker's complaint handling framework delivering good practices and adhering to regulatory requirements, following the identification of systemic failures.

Identification of key risks and recommended control activities to demonstrate and embed good practice as part of a high profile digital bank launch.

Design, implementation and oversight of a bank wide active monitoring framework for complaints to demonstrate it could identify, review, escalate and act



### Phone

+44 20 7296 5516

### Fax

+44 20 7296 2001

### Email

[nick.oxley@hoganlovells.com](mailto:nick.oxley@hoganlovells.com)

---

### Practices

Financial Services

Financial Services Regulatory  
Consulting

Hogan Lovells Solutions

---

### Industries

Financial Institutions

---

### Areas of focus

Authorisation Support

Compliance Effectiveness

Compliance Readiness

Remediation

Regulatory Due Diligence

---

on any identified issues.

## Latest thinking and events

- News
  - Operational Resilience: Six weeks to go...
- News
  - FCA seeks views on Sustainability Disclosure Requirements (SDR) and investment labels