

## Financial Services Regulatory Consulting

When the regulatory landscape changes or you're facing a regulatory obstacle, the first step is to understand the compliance and legal implications for your business.

However, this is just the beginning; planning and implementing the necessary operational changes are vital next steps.

When the above places a burden on your business-as-usual operations, we can provide a better solution: a seamless bridge between regulatory consulting services and legal guidance.

At Hogan Lovells, we offer interpretation, planning, and implementation as a one-stop service. This means you can benefit from a cost-effective solution that achieves your regulatory and business objectives.

As regulatory challenges transition into operational ones, we can integrate fully with our market-leading financial services lawyers and leverage technology-backed solutions to deliver a smooth process at a significantly lower cost than specialized consulting groups.

Whether you are:

- Navigating a complex piece of regulation
- Seeking to optimize compliance effectiveness
- Requiring support with complaints management or remediation exercises
- Facing evolving challenges such as regulatory authorizations and due diligence

Having worked at regulators, Big Four consultancies, and compliance functions across the financial services industry, our regulatory consultants have the experience and insight to help you tackle your compliance challenges effectively and efficiently, with support from our legal practice where required.

Learn more about how we can help you by visiting our areas of focus.

## Representative experience

Advising on regulatory authorization and variation of permission.

Advising on regulatory change program implementation.

Designing and delivering all aspects of remediation programs, including policies and procedures and providing oversight.

Preparing for and implementing SMCR, including application and interview support for senior managers.

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.

Designing and delivering training and coaching programs, including online modules.

Working with firms in preparation for and during Section 166 Skilled Person's Reviews.

Helping firms with complaint handling reviews, resourcing, and root cause analysis.

Designing and implementing a complaint management framework.

## Latest thinking and events

## Key contacts

Emily Reid,  
London

Jenny Steven,  
London

Caroline Walters,  
London

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## Areas of focus

Authorisation Support

Complaints Management

Compliance Effectiveness

Compliance Readiness

Regulatory Due Diligence

Remediation

Senior Managers and  
Certification Regime  
(SM&CR)

Training and Coaching

Regulatory Change  
Management

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### Hogan Lovells Events

Paris: Life Sciences and Health Care Horizons 2019

### Hogan Lovells Publications

Mortgage lender fined for alleged HMDA violations

*Financial Institutions Sector Alert*

### Hogan Lovells Publications

Our presence in the Middle East

### Hogan Lovells Events

Debate: The African Continental Free Trade Agreement- should

Nigeria be part of it?

### Media Mention

Hong Kongs private banks gearing up to meet suitability requirements

### Media Mention

Clean coal could have a place in green financing in China