

Financial services - authorization, supervision, and enforcement : a litigators guide

Oxford University Press - Financial Services Law Advisor (FSLA)



Description: -

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Financial services industry -- Great Britain -- State supervision
Financial services industry -- Law and legislation -- Great Britain
Financial Services Authority (Great Britain) -- Rules and
practice
Financial services - authorization, supervision, and
enforcement : a litigators guide
-Financial services - authorization, supervision, and enforcement : a
litigators guide

Notes: Includes index.

This edition was published in 2006



Filesize: 27.74 MB

Tags: #Regulation

Financial Services

He and Jerome Shestack called lawyers all over the country requesting their support. If a firm or individual fails to comply with relevant requirements, we can take action. Our approach to deploying these powers is set out in our approach documents.

Financial Services Switzerland

She has particular expertise in advising clients on the conduct of high profile board-led, independent investigations, particularly in relation to culture and conduct. Futures and Derivatives Regulatory and Compliance Our team assists our futures and derivatives clients in navigating the complex statutory and regulatory web that governs their businesses. On behalf of clients, he has led regulatory investigations on both sides of the Atlantic, managing teams and simultaneously supporting experts across multiple related matters.

Contentious Regulatory

However, he was also called upon to advise on an increasing number of 'dual track' investigations i. The action we take is wide-ranging — not just court action.

Consumer Financial Services Law Monitor

He is a former Head of Department in the Enforcement Division at the financial services regulator, as well as having worked in-house, and advising firms and individuals in private practice.

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