

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 former SEC officials Peter Romeo and Amy Bowerman Freed (former Chief and Deputy Chief Counsel (respectively), Division of Corporation Finance).

Our team includes former SEC officials Joe Connolly (former head of what is now the Office of M&A) and Alan Dye (former Special Counsel to Chairman).

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.

Contacts

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Washington, D.C.

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Latest thinking and events

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Private Capital Insights

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Principles matter: SEC amends disclosure rules for business, legal proceedings, and risk factors

SEC Update

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