

Assessing risk and saving you money

Financial Regulatory

Providing comprehensive solutions to assess risk and save you money, time and resources



LICENSING	REPORTING AND COMPLIANCE	REGULATORY LEGISLATION	INTERNATIONAL	INVESTIGATIONS
<p>Australian financial services, Credit, Life insurance, Superannuation, Banking, Markets, Clearing, Payments</p> <ul style="list-style-type: none"> - Applications - Variations - Termination 	<p>Product and distribution design</p> <p>Compliance:</p> <ul style="list-style-type: none"> - Documentation - Systems - Business process <p>Breach reporting</p> <p>Training</p> <ul style="list-style-type: none"> - Directors - Responsible managers 	<p>Anti- money laundering</p> <p>Australian Securities & Investments Commission Act</p> <p>Autonomous Sanctions Act</p> <p>Banking</p> <p>Charter of UN Act</p> <p>Corporations Act</p> <p>Counter-terrorism</p> <p>Criminal Code</p> <p>Financial Sector (Collection of Data) Act</p> <p>Market Integrity Rules</p> <p>Operating Rules</p> <p>Payment Systems</p> <p>Privacy</p> <p>Sanctions</p> <p>Unfair terms</p>	<p>China</p> <ul style="list-style-type: none"> - QFII - NDRC - QDII <p>European</p> <ul style="list-style-type: none"> - AIFM <p>USA</p> <ul style="list-style-type: none"> - FATCA - Dodd Frank - Volker 	<p>ASIC and ASX investigations and hearings</p> <p>AUSTRAC investigations</p> <p>Bribery and sanctions</p> <p>Class actions</p> <p>Commissions of inquiry</p> <p>Continuous disclosure, directors duties, insider trading</p> <p>Criminal investigations</p> <p>EDR schemes and systemic issues</p> <p>Enforceable undertakings</p>

Financial Regulatory

Practice Team

KING & WOOD
MALLESONS

	FINANCIAL SERVICES LICENSING	REPORTING AND COMPLIANCE	REGULATORY LEGISLATION	BROKING AND CUSTODY	SUPER-ANNUATION, LIFE INSURANCE	INVESTIGATIONS
Jim Boynton	✓	✓	✓	✓	✓	
Joanne Cameron		✓	✓			✓
Katherine Forrest	✓	✓	✓	✓		✓
Nathan Hodge	✓	✓	✓	✓	✓	
Kate Jackson-Maynes	✓	✓	✓	✓		✓
Stephen Jagers	✓	✓	✓	✓	✓	
Will McCosker	✓	✓	✓	✓	✓	
Mark McFarlane	✓		✓	✓		
Alex Morris			✓			✓
Damien Richard	✓	✓	✓	✓		
Moira Saville		✓	✓			✓
Ruth Stringer	✓	✓	✓	✓	✓	✓



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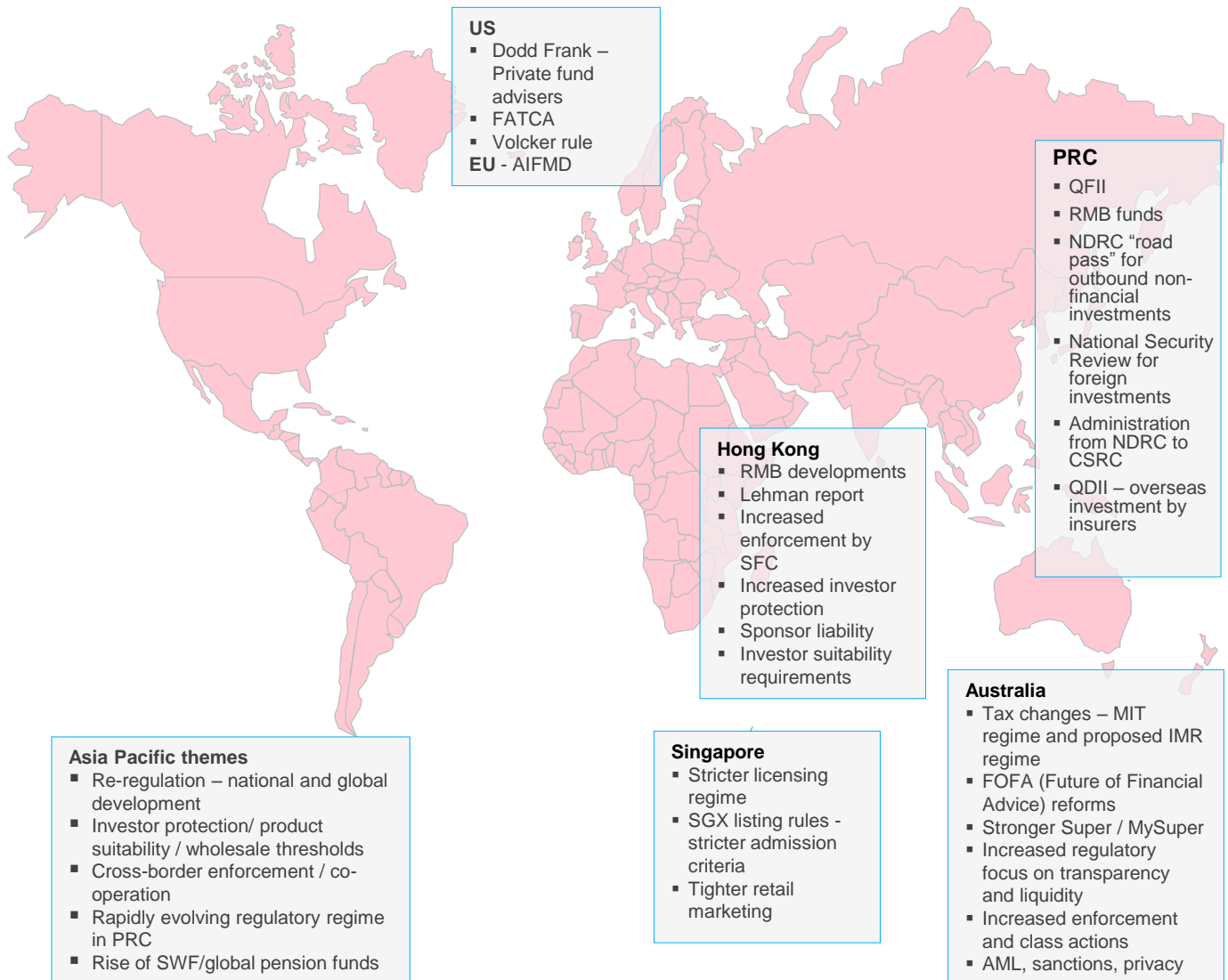
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Global regulatory

issues impacting

Australia

KING & WOOD
MALESONS



Assessing risk and saving you money

Financial Regulatory

Providing commercial solutions to assess risk and save you money and resources

The KWM financial regulatory team are active in all aspects of the industry, including the major Australian domestic investment and retail banks, fund and asset managers, insurers, wealth advisors, super, life insurers, credit providers and other participants in the financial industry.

Our practice is unique as the size of our team allows us to offer clients a 'one-stop-shop' across a range of issues.

Our success and reputation are measured on the commercial application of complex regulatory projects. Coupled with our leading expertise across Asian and European markets, we are able to deliver the insights and solutions to manage your business risks.

MAJOR PROJECTS

- Advising a number of large financial institutions on dealing with ASIC's and AUSTRAC's stepped-up activity in investigations and enforcement actions including in the credit and payment spaces
- Australian Bankers' Association on the revision of its Code of Banking Practice
- Major foreign investment banks and fund managers on establishing an Australian businesses including obtaining an Australian financial services licence
- Advising large fund manager on criminal investigation of employee
- Banks and other financial institutions on the development of new products, protected equity finance, lending to SMSFs, creation of wealth management platforms, new payment products and systems, electronic and mobile banking
- Major projects on the provision of services on a cross-border basis
- Acting in a range of class actions including the Multiplex and Centro class actions

"THERE HAS INEVITABLY BEEN A SIGNIFICANT COST AND INVESTMENT OF MANAGEMENT TIME IN RELATION TO IMPLEMENTING INCREASINGLY COMPLEX REGULATORY REFORMS"

**DAVID TURNER,
CBA CHAIR 2013**