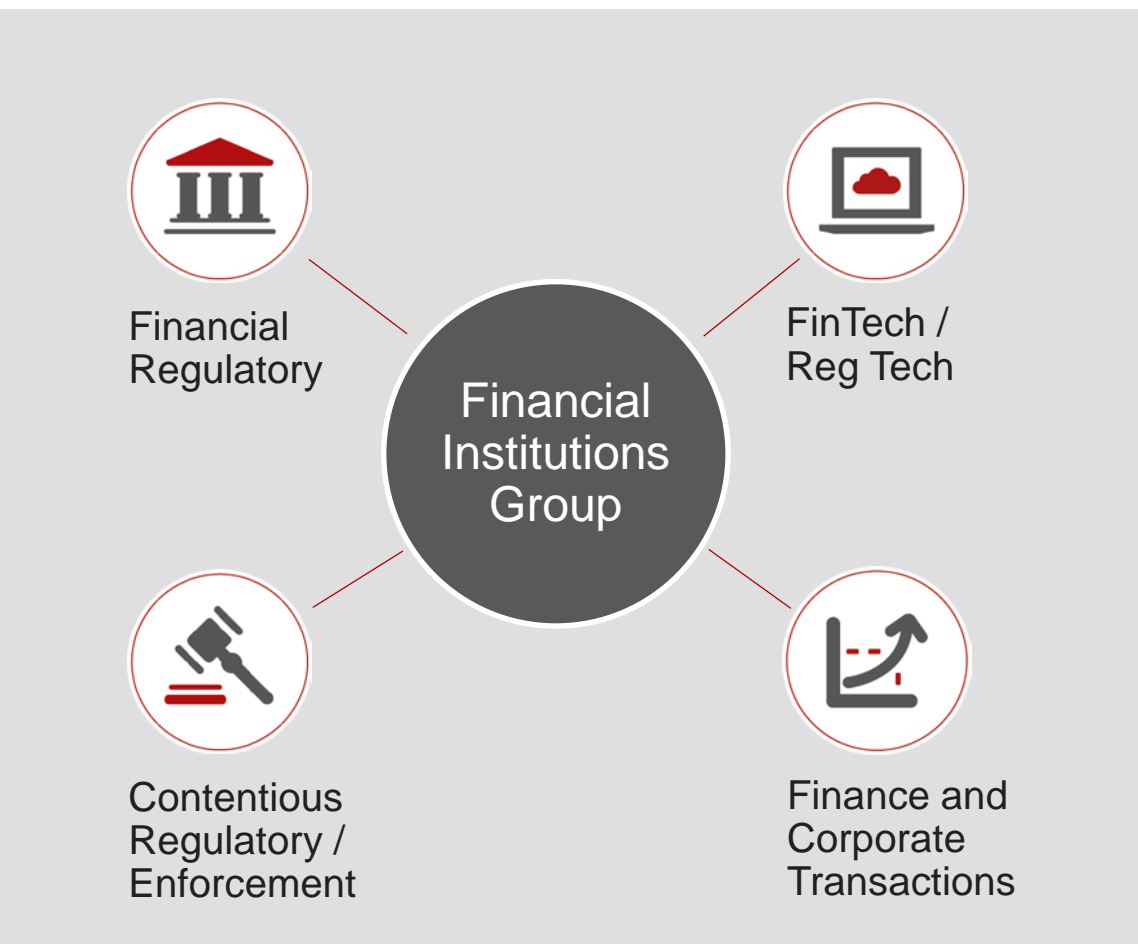


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Over **70** regulatory partners and counsel located in financial centers around the world provide financial institution clients with holistic advice on the full range of regulatory, risk management, and compliance issues. Through our globally integrated, regulatory, transactional, and litigation practices, we provide clients with the advice needed to navigate today's highly regulated capital and financial markets.



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“Based out of New York and aided by a broad international footprint that encompasses offices in Europe, Asia, and the Middle East, Latham & Watkins LLP’s team is well equipped to handle domestic and multi-jurisdictional regulatory matters for banks, broker-dealers, investment funds, and specialty finance companies.”

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Chambers USA 2017

| Our Offering | US | EMEA | APAC |
|---|---|---|---|
| General Regulatory | <ul style="list-style-type: none"> Bank Capital and Volcker Rule Broker-Dealer and Trading and Markets Reg Capital Markets / Reg S Derivatives / Futures / Commodities Foreign Private and Domestic Issuers Investment Advisors Market Infrastructure / Clearing | <ul style="list-style-type: none"> BMR MAR MiFID PRIIIPS KID PSD SMCR | <ul style="list-style-type: none"> Conduct of Business and Regulatory Compliance Financial Products Market Misconduct Regulated Activities and Licensing |
| Contentious Regulatory | <ul style="list-style-type: none"> Enforcement White collar | <ul style="list-style-type: none"> Enforcement White collar | <ul style="list-style-type: none"> Enforcement White collar |
| Derivatives | <ul style="list-style-type: none"> Commodity Exchange Act Title VII Dodd-Frank Margin / Capital Trade Execution and Clearing | <ul style="list-style-type: none"> EMIR Margin | <ul style="list-style-type: none"> Mandatory Reporting and Clearing Margin Record Keeping Requirements |
| FinTech / RegTech | <ul style="list-style-type: none"> Cloud Computing Cryptocurrency / Blockchain Data / Market Data Digital Services Distributed Ledger Technology Market Infrastructure Payments Trading and Markets | <ul style="list-style-type: none"> Cloud Computing Cryptocurrency Digital Services Distributed Ledger Technology Market Infrastructure Payments | <ul style="list-style-type: none"> Cloud Computing Cryptocurrency Digital Services Distributed Ledger Technology Market Infrastructure Payments |
| Cybersecurity / Data Protection | <ul style="list-style-type: none"> COPPA Cybercrime Preparedness and Incident Response Data Collection, Use, and Sharing FINRA / SEC HIPAA Law Enforcement and Access Requests | <ul style="list-style-type: none"> Cybercrime Preparedness and Incident Response Data Collection, Use, and Sharing Data Protection Directive E-Privacy GDPR Law Enforcement and Access Requests NISD | <ul style="list-style-type: none"> Network Security Law (CN) Personal Data (Privacy) Ordinance (Chapter 486) (HK) Personal Data Protection Act 2012 (SG) |
| FinTech M&A Transactions / Outsourcing | <ul style="list-style-type: none"> Cloud Computing GLBA FFIEC IT Handbook SEC / CFTC / FINRA | <ul style="list-style-type: none"> Cloud Computing PRA and FCA Handbooks Recovery and Resolution | <ul style="list-style-type: none"> 2016 Guidelines on Outsourcing Risk Management for financial institutions (SG) – issued by MAS HKMA Outsourcing Guidelines |
| Competition | <ul style="list-style-type: none"> Antitrust / HSR Cartel Mergers Regulatory Investigations State Aid | <ul style="list-style-type: none"> Antitrust Consortium Advice EU State Aid Mergers Regulatory Investigations | <ul style="list-style-type: none"> Antitrust Cartel Investigations Regulatory Investigations |
| Sanctions / AML | <ul style="list-style-type: none"> AML OFAC / FinCen Sanctions Rules | <ul style="list-style-type: none"> EU Dual Use Regulation MLD4 Sanctions Rules | <ul style="list-style-type: none"> AML Rules Sanctions Rules |
| Consumer Laws | | <ul style="list-style-type: none"> Consumer Rights Directive Unfair Commercial Practices Directive | <ul style="list-style-type: none"> Consumer Protection (Fair Trading) Act (Chapter 52A) (SG) Money Lenders Ordinance (HK) |
| Funds | <ul style="list-style-type: none"> Investment Co. Act Private Funds / Investment Management | <ul style="list-style-type: none"> AIFMD | <ul style="list-style-type: none"> Licensing and Authorization Marketing and Distribution |
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