

Webcast: Global Regulatory Developments and What to Expect Across the Globe (US/UK/EU)

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Following on from the recent launch of our Global Financial Regulatory Practice Group, please join us for the inaugural webcast from our global team, where we will be discussing the latest legal and regulatory developments while identifying key themes and trends across the major financial centers in relation to:

- Environmental, Social and Governance (ESG)
- Culture and conduct in financial services
- Digital assets/cryptocurrencies

We will discuss the supervisory and enforcement approaches and priorities currently being taken by global regulators on these issues and provide views on best practices for managing compliance requirements and the new regulatory risks for firms and their senior management. In addition, the team will bring their predictions for the future of regulatory policy, supervision and enforcement based on their extensive experience in these areas with the key global regulators.

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Related People

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MODERATOR:

Stephanie Brooker: former Director of the Enforcement Division at the U.S. Department of Treasury's Financial Crimes Enforcement Network (FinCEN) and a former federal prosecutor, is a partner in the Washington, D.C. office. She is Co-Chair of the firm's White Collar Defense and Investigations, the Financial Institutions, and the Anti-Money Laundering Practice Groups. Ms. Brooker also previously served as the Chief of the Asset Forfeiture and Money Laundering Section in the U.S. Attorney's Office for the District of Columbia. She has been named a *National Law Journal* White Collar Trailblazer and a *Global Investigations Review* Top 100 Women in Investigations. She handles a wide range of white collar matters, including representing financial institutions, multi-national companies, and individuals in connection with criminal, regulatory, and civil enforcement actions. She routinely handles complex cross-border investigations.

PANELISTS:

William Hallatt: is a partner in the Hong Kong office and Co-Chair of the firm's Global Financial Regulatory Practice Group. Mr. Hallatt's practice includes internal and external regulatory investigations involving high-stakes enforcement matters brought by key financial services regulators, including the Hong Kong Securities & Futures Commission (SFC) and the Hong Kong Monetary Authority (HKMA), covering issues such as IPO sponsor conduct, anti-money laundering and terrorist financing compliance, systems and

controls failures, and cybersecurity breaches. He has led the financial industry response on a number of the most significant regulatory change issues in recent years, working closely with major regulators, including the SFC, HKMA, Hong Kong Insurance Authority (IA) and the Monetary Authority of Singapore (MAS), together with leading industry associations, including the Asia Securities Industry & Financial Markets Association (ASIFMA) and the Alternative Investment Management Association (AIMA).

Michelle M Kirschner: is a partner in the London office and Co-Chair of the firm's Global Financial Regulatory Practice Group. Ms. Kirschner advises a broad range of financial institutions and fintech businesses on areas such as systems and controls, market abuse, conduct of business and regulatory change management, and she conducts internal investigations and reviews of corporate governance and systems and controls in the context of EU and UK regulatory requirements and expectations.

Thomas Kim: former Chief Counsel and Associate Director of the SEC's Division of Corporation Finance, and a former Counsel to the SEC Chairman, is a partner in the Washington D.C. office. He is a member of the firm's Securities Regulation and Corporate Governance Practice Group. Mr. Kim advises a broad range of clients on SEC enforcement investigations involving disclosure, registration and auditor independence issues. Because of his SEC experience on the question of what is a security, Mr. Kim has advised many cryptocurrency companies on whether their particular digital assets constitute securities.

Matthew Nunan: former Head of Department for Wholesale Enforcement at the UK Financial Conduct Authority (FCA), is a partner in the London office. He is a member of the firm's Dispute Resolution Group. When at the FCA, Mr. Nunan oversaw a variety of investigations and regulatory actions including LIBOR-related misconduct, insider dealing, and market misconduct matters, many of which involved working extensively with non-UK regulators and prosecuting authorities including the DOJ, SEC, CFTC, and others. Mr. Nunan also was Head of Conduct Risk for Europe, Middle East and Africa at a major global bank. He specializes in financial services regulation and enforcement, investigations and white collar defense.

Jeffrey Steiner: former special counsel at the U.S. Commodity Futures Trading Commission (CFTC), is a partner in the Washington D.C. office. He is Co-Chair of the firm's Derivatives Practice and Digital Currencies and Blockchain Technologies Practice. Mr. Steiner advises a range of clients on regulatory, legislative, enforcement and transactional matters related to OTC and listed derivatives, commodities and securities. He also advises clients, including exchanges, financial institutions and fintech firms, on matters related to digital assets and cryptocurrencies.

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