

Investment Management and Wholesale

“Securitisation: has the financial crisis ‘bad boy’ been tamed?”, Compliance Monitor, 5 November 2018

“The Supreme Court’s definition of a collective investment scheme – just what the FCA wanted”, Compliance Resource Network, 27 April 2016

“The Upper Tribunal and High Court tackles conflicts of interest, integrity and dishonesty issues at Arch Financial Products LLP”, Compliance Resource Network, 23 January 2015

“Fund managers beware”, Compliance Resource Network, May 16, 2014

“Definition of a Collective Investment Scheme”, Compliance Resource Network, May 9, 2014

“TR 13/10, the FCA’s thematic review of outsourcing in the asset management industry”, Compliance Resource Network, 21 November 2013

“Inducements, corporate entertainment, bribery and other problems”, Compliance Monitor, 24 October 2013

“UBS pays the penalty for the Adoboli authorised trades a second time”, Compliance Resource Network, 29 November 2012

“The FSA seeks to sort out the workings of the approved persons regime after the Financial Services and Markets Bill becomes law in CP 12/27”, Compliance Resource Network, 11 October 2012

“The Tribunal on proving lack of integrity – the Ainley case”, Compliance Resource Network, 30 July 2012

“Upper Tribunal does Arch Cru, investment risk, conflicts of interest and fit and proper”, Complinet, 12 July 2012

“Pottage — a tribunal case on the difficulties of second-guessing bank chief executives”, Complinet, 27 April 2012

“Lehman Brothers and unsegregated client money in the Supreme Court”, Compliance Resource Network, 8 March 2012

“PS 12/2 — the FSA finally makes its mind up about custody liens”, Complinet, 26 January 2012

“CP 11/15 – re-tweaking CASS, custody liens and title transfer collateral arrangements”, Complinet, 3 August 2011

“Goldman Sachs: the final notice misdiagnosis”, Compliance Monitor, October 2010

“SocGen and transaction reporting — one more tale of misinformation”, Complinet, 31 August 2010

“The Lehman client money case — a brief analysis”, Complinet, 10 August 2010



"The FSA's review of its 2005 reform of with-profits — a slow painful death?", Complinet, 6 July 2010

"The three client money fines, Close, JP Morgan and Rowan Dartington", Wolters Kluwer, 10 June 2010

"CP10/09 reforming CASS for UK authorised prime brokers" Complinet 9 April 2010

"Investment funds compliance – a new hot topic" Compliance Monitor, March 2010

"CP 05-13 The FSA looking for meaningful retail disclosure of bundling and softing", Compliance Online, 3 October 2005

"PS04/23 Commentary: FSA trying to unbundle commission", 22nd November 2004

"The State of Independence- the FSA tests its new rules on research", Compliance Online 3 October 2005

"PS04/13 - The FSA goes soft on the Bundled Brokerage and Soft Commission", Compliance Online 10 May 2004