

Regulatory Authorization and Financial Institutions

Cost and management time devoted to becoming an authorized institution are a major investment for any business. You will want to get things done quickly, efficiently, and right the first time.

Hogan Lovells can advise on and project-manage your applications to the relevant regulator at any and every stage. Setting out the process and timescales. Determining the scope of the permissions you need. Overseeing the completion of the application forms. Helping you demonstrate your “fitness and properness” for authorization. Preparing policies and processes. Explaining the regulator’s expectations. Assisting with follow-up questions from the regulator after submission. We will be with you every step of the way.

Representative experience

Advised a niche private bank on the establishment of a new UK private bank with branches in Edinburgh and London.

Advised on and project-managed REDI Technologies Ltd's application for authorization and multiple FinTech businesses on their journey to being an authorized institution.

Advised two major high street banks on extensive audits of their consumer credit lending in preparation for their respective applications to the FCA for full permission.

Advising Green Street Advisors and Morningstar on the establishment and application for authorization of their

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UK-based investment advisory, management, and dealing businesses.

Latest thinking and events

Hogan Lovells Publications

Brexit Effect Note: the legal Implications behind the headlines