



ASTRAEA

Regulatory Compliance

OVERVIEW

The global regulatory environment is more complex than ever. Astraea's team offers deep regulatory compliance subject matter expertise in both contentious and non-contentious situations.

Astraea's team includes industry professionals, seasoned regulatory lawyers and experienced forensic and financial crime investigators. We are consistently ranked as leading experts in Anti-money laundering (AML) and Counter-terrorism financing (CTF) work, and are retained by a number of city legal and financial institutions to advise on these regulatory issues.

We act for multinationals on US, EU and UK sanctions, and regularly act for the Solicitors Regulation Authority (SRA) in relation to their prosecutions of regulated firms. James Ramsden KC has also represented the Law Society, the Institute of Chartered Accountants in England and Wales (ICAEW) and the Intellectual Property Regulation Board (IPReg).

Our intelligence and investigations experts assist clients in identifying and mitigating regulatory and compliance risks, by undertaking deep due diligence on their clients, counterparties, and other third parties. This increasingly includes addressing supply chain risks and ensuring compliance with environmental regulations.

Additionally, we conduct independent forensic investigations for companies facing heightened regulatory scrutiny.

Astraea has a strong focus on advising clients operating in decentralised finance and digital assets, and are recognised as leading experts in this field.

Leveraging our multidisciplinary platform, Astraea offers comprehensive regulatory and compliance services, including legal advice, corporate investigations and due diligence.



OUR FOCUS AREAS

SRA Investigations

We advise clients on how to deal with inquiries and investigations from the Solicitors Regulation Authority (SRA). We also regularly represent the SRA at the Solicitors Disciplinary Tribunal, with a particular focus on cases involving serious AML and misconduct breaches.

Sanctions Compliance

We assist clients in understanding and adhering to sanctions imposed by the UK, EU and US. This can involve conducting investigations into counterparties, advising on sanctions compliance in the context of planned or anticipated transactions, or reviewing compliance controls and processes, and advising on improvements to ensure the client has sufficiently robust processes in place to detect and prevent violations of sanctions law. We have assisted clients in applying for licenses or exemptions from the relevant authorities, where appropriate. We are also experienced in representing clients in regulatory investigations or enforcement actions related to potential breaches of sanctions regulations.

Financial Services Regulation

We advise a range of financial services clients including banks, investment firms and other financial institutions on compliance with regulations such as the Financial Services and Markets Act 2000 (FSMA), the Prudential Regulation Authority Rules (PRA) rules and the Financial Conduct Authority (FCA) guidelines. We also advise and represent clients who are being investigated by a financial regulator.

Anti-Money Laundering and Counter-Terrorist Financing

We help clients establish and maintain robust anti-money laundering (AML) and counter-terrorist financing (CTF) compliance processes and systems, ensuring adherence to relevant regulations and related legislation. We also regularly advise clients on complex AML issues around onboarding or returning funds to clients.

Corporate Governance and Directors' Duties

We help companies to navigate their legal and regulatory obligations. This includes responding to unexpected events or changes in law and frequently includes advising on corporate governance practices, and disclosure obligations.

REPRESENTATIVE EXPERIENCE

Solicitors Disciplinary Tribunal representation

Representing the SRA in the prosecution of the UK's largest law firm for breaches of AML regulations in the case of a foreign Politically Exposed Person (PEP).

Sanctions Compliance

Assisting a trust services company with an application to the Office of Financial Sanctions Implementation (OFSI).

Anti-Money Laundering and Counter-Terrorist Financing

Advising a family office on its AML processes and procedures as well as providing in-person AML training to their team.