



FINANCIAL REGULATION

Recognising risks,  
seizing opportunities.



## Financial Regulation

Hardly any other industry is currently facing such major regulatory challenges as the financial sector. Changing customer behaviour and massive regulatory interventions in traditional business models require new ways of thinking and innovative solutions. At the same time, new business models incorporating regulatory interfaces are continually being developed and changing the nature of the market. GSK Stockmann looks forward to this challenge and is ready to meet it head-on with an integrated, well-qualified team that takes an interdisciplinary approach, networks with each other to develop robust structures and, above all, stands out for being highly innovative. Our highly specialised and experienced lawyers advise on a wide range of regulatory issues affecting clients in the financial sector, including:

- Authorisation procedures
- Securities business and distribution
- M&A in the finance sector
- FinTech, digitisation and blockchains
- Payments and e-money products
- Capital adequacy requirements
- Institutional and financial holding groups
- Remuneration systems
- Compliance
- Litigation

## The broader spectrum

In addition, our field of work also covers the following tasks and areas:

- Coordination with regulatory authorities and organisations
- Aligning contractual relationships with service providers with new regulations
- Legal advice and support with outsourcing projects
- Implementation of MaRisk, MaComp or BAIT, including writing organisation manuals
- Support with creating compliance or anti-money laundering structures
- Advising on annual financial statements and audits under the German Securities Trading Act (WpHG)
- Advising on regulatory capital
- Ownership control procedures
- Bank restructuring
- Laws governing German savings banks and co-operatives
- German mortgage bond legislation (German Pfandbrief Act)
- Monetary and central banking law

➤ “They have in-depth knowledge of a rapidly developing area and conduct their research thoroughly, which underpins their sound legal advice. In addition, they have a solid understanding of commercial matters and abundant experience in the market.”

Client



## Find the right experts.



Scan the QR code and get to know the lawyers of our “Financial Regulation” team.

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