

## Peter Wright

Partner

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*I am a partner in Fox Williams' financial services team. I advise institutions and individuals in respect of complex and sensitive FCA and PRA matters.*

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Peter leads our cross-practice financial services sector group. His personal practice focusses upon contentious financial services and markets investigations, financial crime investigations and non-contentious advisory matters with high-value and complex issues.

His client base includes UK and overseas banks, retail and wholesale investment firms, individual IFA and network firms, insurers and insurance intermediaries, SMF holders and certified staff.

He is also regularly consulted by international investors and ultra high net worth individuals seeking to become controllers of UK authorised firms or commencing regulated activity in the UK. He has a deep knowledge and expertise in dealing with the authorisation, supervision and enforcement functions of the regulatory authorities.

## Legal Expertise

- Advising and representing institutions and individuals in large, complex and reputationally sensitive FCA and PRA regulatory investigations
- Advising on civil and criminal issues relating to insider dealing, market abuse and change-in-control cases
- Advising on applications for authorisation, registration, approval and change-in-control under the applicable provisions of FSMA, e-money regulations and PSD II.
- Wider professional disciplinary investigations (including SRA and AADB) and enquiries linked to conduct within the financial services sector
- Advising institutions on compliance with the requirements of the FCA handbook and PRA rulebook, including implementation of the SMCR regime

## Experience

- Advised a major investment firm under FCA investigation in relation to alleged failures in their Discretionary Fund

## Management business.

- Advised and supported a wide-number of Credit Unions facing financial stress and achieving an orderly wind-down process.
- Advised a UK investment advisor firm and IFA network on pensions mis-selling liabilities and remediation activities.
- Advised several solo-regulated firms in relation to the introduction of the Senior Managers and Certification Regime (SMCR).
- Advised and prepared major acquisition of control applications of UK authorised firms by UHNWI investors and fintech investment funds.
- Acted for a senior financial crime professional in connection with an investigation into \$10 billion mirror trading scheme where the institution was subject to a financial penalty of £163 Million by the FCA.
- Advised on high-profile financial crisis matters and investigations, including the action taken against individual directors of Northern Rock.
- Advised various international banks in connection with money laundering and anti-financial crime systems and controls obligations.

## Memberships

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- Financial Services Lawyer Association