



REGULATORY

LaScala



SOCIETÀ TRA AVVOCATI

REGULATORY

Globalisation, market harmonisation within the EU, and financial and technological innovation have resulted in closer regulatory involvement in all forms of business activity and greater scrutiny of compliance. That has resulted in an increased demand for highly specialised advice that La Scala has been pleased to serve.

A dedicated team has long been advising on compliance matters and on dealings with regulatory and other authorities.

Head of the team:

SABRINA GALMARINI (Partner)



AREAS OF FOCUS

- Regulatory aspects of banking, finance and insurance
- Regulation of regulated markets
- Transparency
- Bank of Italy's Risks Centre
- Money laundering
- Administrative liability of bodies corporate.



OUR SERVICES

- Interpretation and application of relevant regulations
- Advice to boards and committees on corporate governance and internal control structures
- Preparation and review of internal rules, operating processes and procedure manuals
- Preparation and review of standard contractual documentation
- Evaluation of operating models' compliance with regulatory requirements
- Applications for registration of various sorts
- Preparation of organisational templates for the purposes of Legislative Decree 231/2001



OUR CLIENTS

The clients we advise and assist on technical and regulatory matters are:

- Banks
- Securities dealing firms
- Asset management firms
- Investment firms
- Financial intermediaries
- Listed companies
- Fiduciary firms
- Insurance firms
- Listed companies and others subject to duties under Legislative Decree 231/2001 (companies' duties to establish structures that avoid commission of criminal offences)



THE FEATURE OF OUR SERVICES

- Appointment, on an outsourcing basis, on reviews for compliance purposes
- Support to compliance departments
- Personnel training, including through the organisation of in-house courses on specific areas of interest
- Advice on dealings with regulatory authorities
- Simulated inspections



WHY LA SCALA

A team of over 280 people, distributed over 10 locations in Italy, combines leadership, industry knowledge, technical skills, multidisciplinary and great experience.

Concreteness, innovation, punctuality and sobriety are the distinguishing factors of La Scala.

The ability to offer servicing solutions through professionals with a consolidated experience in the legal field represents our added value.

And through Iusletter, our legal update portal, customers can count on a continuous flow of information that analyzes and elaborates the most controversial aspects of the sector in “real time”.

lascalaw.com | iusletter.com

Milan Rome **Turin** Bologna Florence Venice **Vicenza** Padua **Ancona**

