

Regulatory investigations & inquiries

What we do

- We advise corporates and individuals on investigations, civil enforcement proceedings and prosecutions by regulators and professional bodies across a wide range of sectors.

How we help

- Our clients trust us to give them the support they need. We work closely with clients from the regulator's first contact, handling document requests, assisting with interviews, and acting on any enforcement action. We assist clients facing investigations by the Commerce Commission, Financial Markets Authority, Reserve Bank, Serious Fraud Office, Ministry of Business, Innovation and Employment, WorkSafe and other regulators. Our lawyers are also experienced in representing parties before public inquiries.

Experience

- acted for a fund manager in a high profile and market-leading proceeding brought by the Financial Markets Authority alleging market manipulation, the first case of its kind in New Zealand
- advising financial institutions on conduct and culture issues arising from the Australian Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry and the Conduct and Culture Inquiry carried out by the Financial Markets Authority and Reserve Bank
- acted for a water filtration company in a Commerce Commission prosecution alleging unsubstantiated and misleading claims in breach of the Fair Trading Act
- acting for a large national supplier in relation to a Commerce Commission investigation into the promotion and advertising of building products
- acted for parties represented in the Canterbury Earthquakes Royal Commission and the Royal Commission on the Pike River Coal Mine Tragedy

— acting for corporates, directors and officers, trustees, auditors and other professionals in numerous investigations resolved confidentially

Key Contacts

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