

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

- acting for a derivatives issuer and the New Zealand subsidiary of a Hong Kong-listed company in the first civil penalty proceeding brought by the Financial Markets Authority under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009
- acting for the helicopter companies in prosecutions under the Health and Safety at Work Act 2015 in relation to tour operations on Whakaari/White Island following the eruption in December 2019, the largest investigation and proceeding conducted by WorkSafe to date
- acting for banking, financial and lending institutions in responding to investigations by the Commerce Commission into alleged breaches of disclosure requirements under the Credit Contracts and Consumer Finance Act 2003
- acting for a fund manager in a high-profile and market-leading proceeding brought by the Financial Markets Authority alleging market manipulation
- acting for the Financial Markets Authority in civil proceedings alleging market manipulation of NZX listed shares in breach of the Financial Markets Conduct Act 2013

- acting for a large national insurer in the investigation and civil proceedings brought by the Financial Markets Authority in relation to the overcharging of multi policy discounts
- acting for TSB Bank in relation to a Commerce Commission investigation and proceedings relating to consumer credit fees and compliance with Credit Contracts and Consumer Finance Act 2003
- acting for a technology company in an investigation and prosecution brought by the Commerce Commission for breaches of disclosure obligations under the Fair Trading Act 1986
- acting for certain directors, officers and managers of Pike River Coal Limited in the Royal Commission on the Pike River Coal Mine tragedy
- acting for an electrical company in relation to a Commerce Commission investigation into potential anti-competitive conduct
- 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
- acting for a water filtration company in a Commerce Commission prosecution alleging unsubstantiated and misleading claims in breach of the Fair Trading Act 1986
- acting for a large national supplier in relation to a Commerce Commission investigation into the promotion and advertising of building products
- regularly acting for companies and individuals in connection with regulatory investigations and proceedings brought by the Commerce Commission, Financial Markets Authority, Serious Fraud Office, Reserve Bank of New Zealand and other regulators

Key Contacts

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