Shook Lin & Bok

Financial Services Regulatory

Overview

Financial Services Regulatory Lawyers Navigating Singapore's Regulatory Landscape

Shook Lin & Bok's Financial Services Regulatory team handles the full spectrum of regulatory advisory and transactional work in the financial services sector. Our clients include banks, capital markets intermediaries, insurance companies, financial advisers, market operators, and payment service providers.

Our regulatory lawyers focus on giving clients advice that is practical and effective, taking into account both the regulatory environment and policy intent of the authorities.

We frequently work as an interface between our clients and the regulators to assist them in finding viable solutions, safe harbours, exemptions, suitable licences and/or approvals.

Beyond licensing-related transactional work, our regulatory lawyers also regularly advise financial institutions on various ongoing compliance issues, such as anti-money laundering, countering terrorism financing, sanctions, and privacy and data protection, and assist them in developing and implementing effective internal controls and compliance procedures.

Our practice is multi-disciplinary and often spans multiple jurisdictions. We regularly coordinate with counterparts around the world to help clients harmonise their compliance requirements and optimise their business objectives in a globalised economy.

Our experience includes:

- Analysing business models and assisting clients with applying for appropriate licences, exemptions and approvals, including making representations to regulators on complex and/or grey issues.
- Advising on and developing compliance strategies, including risk management and internal compliance policies & manuals.
- Developing inventories to assist clients with keeping track of their periodic regulatory reporting obligations.

Accolades & Recognitions

Legal 500 Asia Pacific

- Ranked in Financial Services Regulatory (2022 – 2026) – Current Ranking: Tier 3

Asialaw Profiles

- Ranked in Financial Services Regulatory (2017, 2025) – Current Ranking: Tier 2

- Ranked in Financial Services Regulatory (2025) – Current Ranking: Tier 2

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