

Aurexia

REGULATORY WATCH

United Kingdom

Top 10 for 2021

Regulatory areas of focus firms should consider this year

Digital Finance

Balancing regulation and innovation

SMCR

The journey goes on

RegTech Corner

BTON Financial

Regulatory Radar

Key regulatory highlights from the UK and global regulators

Foreword

As we start this new year with a fizzle rather than the usual bang, COVID-19 might be running rampant but the world of regulation does not stop. In this issue, we explore the Top 10 regulatory areas that will be important for firms in the UK over the upcoming twelve months. Separately, we continue to keep our eye on Europe, and in our article on Digital Finance, we consider how developments in Europe and the focus ESMA has on technology and innovation might impact the UK, which has separately announced its own plans in the same area. Digital Finance matters, whether you look at it through a UK lens or a European lens. SMCR continues to be a hot topic for many firms and given the two PRA publications in December, we have feature a separate article on this and the areas of enhancement for firms.

In this issue, for the first time we include a new section on RegTech. In our RegTech corner this month, we profile BTON Financial, which provides firms with automated order routing and best execution services. We will feature a new RegTech each month. As always, we include an extract from LightHouse – our regulatory horizon scanning tool. The extract does not intend to provide an exhaustive update of regulatory news from December, but rather a flavour of the types of publications regulators issued.

If you have any comments, suggestions, or would like further details on any of the features included in this edition, please do not hesitate to contact me or the team.



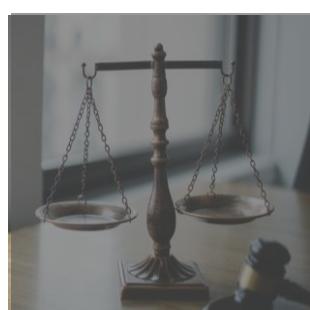
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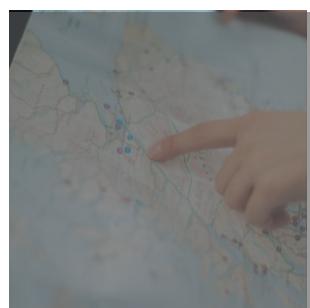
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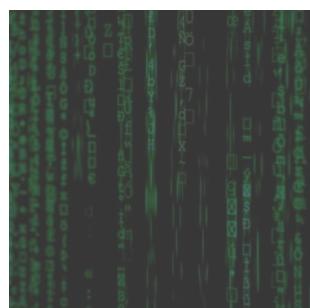
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