

EXPERTISE

GOVERNANCE COMPLIANCE

REGULATION PRACTICE

The Ash St. Governance Compliance Regulation Practice is a blended legal, compliance and governance practice that draws on the private practice and in-house experience of our Director Governance Compliance Regulation, Samantha Carroll and complimentary skill sets of our Corporate/M&A, Projects & Finance, IT, IP & Real Property, Employment Legal Practices and Advisory Services.

Consistent with the Ash St. approach, our team ensure that the right people are involved in our client's Governance, Compliance and Regulatory matters to ensure we get the best results and high quality outcomes for our clients.

Ongoing

We advise on specific Governance, Compliance or Regulatory issues such as providing technical legal advice on the laws which apply to our clients, how to respond to non-compliance with obligations, governance and compliance advice on the overarching framework or operation of governance/compliance in an organisation.

We also provide governance/compliance advice on particular regimes such as the Anti-Money Laundering, Counter-Terrorism Financing legislation including reviewing or developing the necessary framework documentation and practical advice on how to effectively implement and operationalise compliance obligations.

Specific Services

We are routinely assessing the regulatory and other external environments to ensure we remain at the forefront of issues that our clients may face. Some of the specific services we have identified and can undertake for our clients are set out below:

Independent Board Assessment

Perform an independent review of board performance against key performance indicators. Our review criteria has been developed having regard to recognised principles of good governance and has also been tailored to review governance requirements for specific types of entities such as listed companies and superannuation boards. Our Board services also extend to reviewing and advising on specific performance areas such as the adequacy and appropriateness of board reporting (particularly as this relates to compliance reporting).

KEY CONTACTS

Samantha Carroll, Director Governance Compliance Regulation
Katrechia March, Special Counsel Corporate, M&A and Governance
David Ward, Director Advisory Services

Culture/Ethics/Conduct Reviews

Conduct assessments of the culture/ethics/conduct risk of an organisation to define where an organisation is at now and assist with developing a strategic plan to where the organisation wants to be including advising and/or developing metrics to measure success. We can also develop a strategic plan and/or framework to implement and embed good culture and conduct.

KEY CONTACTS

Samantha Carroll, Director Governance Compliance Regulation
David Ward, Director Advisory Services

Independent Expert/ Independent Reviews

Review remediation, regulatory change or enhancement programs to provide independent assurance to the Boards, executive management or regulators on the effectiveness of the program. We can also act as an independent expert to review or develop compliance actions arising from Regulator actions such as an Enforceable Undertaking.

KEY CONTACT

Samantha Carroll, Director Governance Compliance Regulation

M&A – Due Diligence Review

Expand our due diligence reviews to include a regulatory/compliance review of target organisation to identify potential 'red flags' or issues which need to be addressed upon acquisition.

KEY CONTACTS

Peter Shaw, Director Corporate, M&A

Samantha Carroll, Director Governance Compliance Regulation

Subject Matter Expertise For Regulatory/Compliance Projects

Our deep regulatory and compliance expertise means that we can effectively guide and direct large scale enhancement, remediation and regulatory change projects where our clients need a 'safe pair of hands' to ensure they achieve the objectives of their project.

Our Director Governance Compliance Regulation is experienced in the delivery of compliance and regulatory projects and can easily work with internal or external project teams to provide technical subject matter expertise in a wide range of legislative regimes.

KEY CONTACT

Samantha Carroll, Director Governance Compliance Regulation

RegTech

We recognise the importance of RegTech in today's regulatory and compliance environment which is demonstrated by our strong links to organisations such as GRC Solutions and SuperChoice. We can assist organisations in effectively implementing their RegTech solution in a range of ways including reviewing the solution to ensure it achieves the desired compliance outcome, advising or assisting with projects to implement the solution or performing an independent review post implementation.

KEY CONTACTS

Samantha Carroll, Director Governance Compliance Regulation

Andrew Calvin, Director IT, IP & Real Property

David Ward, Director Advisory Services, MBA

Regulatory Change

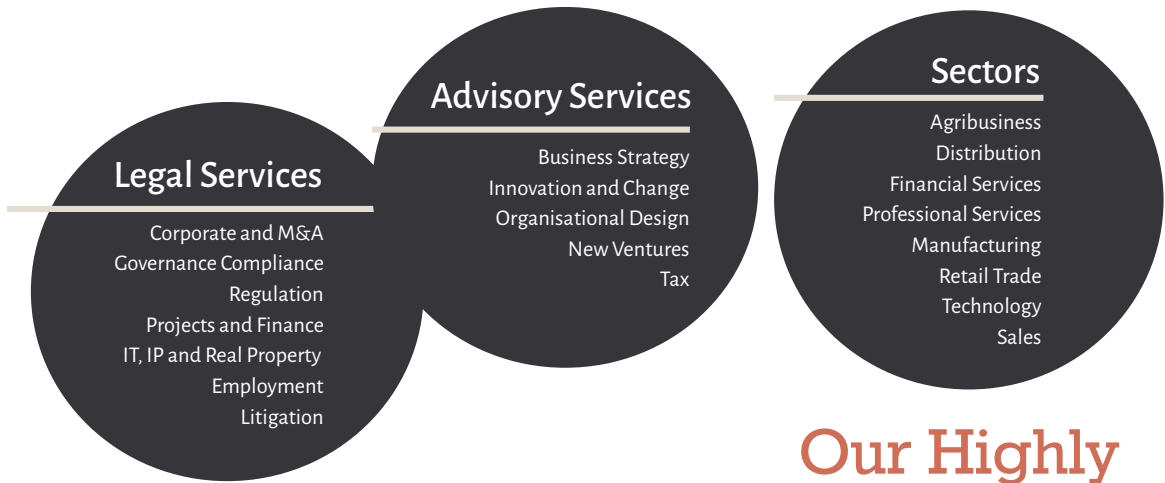
We are particularly focused on the challenges organisations face in the implementation of regulatory change, particularly where that change is rapid and constant. We develop implementation packages for our clients with a key focus on practicality and scalability. An example of a package we have recently developed is the BEAR Implementation Package.

KEY CONTACT

Samantha Carroll, Director Governance Compliance Regulation

About Ash St.

Ash St. is a professional services firm that exists to provide businesses with Legal and Advisory Solutions to help inform and solve complex business problems. We are focused on bringing together talented people and ideas to make things work better. The client is at the center of everything we do.



Our Highly Experienced Team

At Ash St. you will have access to former top-tier partners of law firms and senior staff, highly capable professionals from varied backgrounds and disciplines. The approach we take is simple, harness input from legal, management consulting, tax, governance, compliance and regulatory to consider a business problem and to structure an agile commercial solution.

LEGAL

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Reach out to Ash St. today to find out how we can help you convert the complex into opportunities.



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