

# Investment Funds & Financial Services

## Investment Funds

Our investment funds practice is recognised as the only such practice of any substance outside London or Edinburgh. We have advised on the establishment of around 250 authorised funds both in the form of unit trusts and OEICs and on numerous schemes of amalgamation and the like. We have further expertise in advising on Cayman private trusts hedge funds and Guernsey protected cell companies as well as structuring numerous investments through limited partnerships.

Our range of work includes:

- ◆ handling the acquisition and disposal of funds and fund management groups
- ◆ advising on the restructuring, amalgamation, conversion and winding up of UK funds
- ◆ advising on product design development
- ◆ setting up specialist funds (regulated and unregulated)
- ◆ establishing and advising on private client wealth management structures including "private units trusts" and "private OEICS"
- ◆ advising in relation to offshore structures

## Financial Services

General compliance with the Financial Services and Markets Act 2000 including areas such as conduct of business, market conduct, customer agreements and the like are handled by Chris Godfrey and Mahrie Webb, assisted by a team of specialists. In dealing with both contentious and non-contentious matters, our aim is to give practical, commercial and cost effective advice in this rapidly changing and specialist field.

Our work includes:

- ◆ advising on regulated activities, financial promotion and the need for authorisation
- ◆ reviewing and advising on all promotional literature
- ◆ reviewing and drafting appointed representative and intermediary agreements
- ◆ drafting mortgage and general insurance intermediary agreements
- ◆ advising on FSA applications for authorisation, variations and wind-ups

## Financial Services Disputes and Enforcement

This is a specialised team which represents numerous major financial service providers (including banks, buildings societies, insurance companies, brokers, investment managers and fund administrators) and other corporates/groups in contract, professional negligence and other claims; and advises on regulatory investigations and enforcement. In particular, the practice involves advising financial services providers (FSA authorised or otherwise) who are the subject of FSA enquiries, investigations, and/or enforcement proceedings, including dawn raids. The practice also deals with anti-money laundering/terrorist financing issues.

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A list of the members, all of whom are solicitors, may be inspected at our registered office: Narrow Quay House, Narrow Quay, Bristol BS1 4AH*



# The Investment Funds & Financial Services Team



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