



# **You**, regulatory solutions & **Ince**, in any case

In this fast-paced world you are seeking a pro-active business services partner that moves your company forward, someone who understands your challenges and the importance of commitment. Meet Ince, your trusted partner, in any case.

From our offices in Europe, the Middle East and Asia, our dedicated team of legal and business services professionals can guide you in developing and delivering on your roadmap for sustainable success and provide you with advice that will not only safeguard your business interests but ensure you reap commercial rewards.

Providing you with strategic guidance and well considered advice, we are renowned for the depth and breadth of our legal services and our understanding of the industries in which you operate. We recognise your needs and offer business focused legal services, together with advice that makes commercial sense.

**One firm, in any case**

With about 150 years of experience, we have cultivated a seamless 'one-firm' approach that is tailored to your personal needs and pairs you with the best legal and strategic business professionals in your field; whenever, wherever, and in any case.

**Support, every step of the way**

By leveraging our sector expertise, legal skills and market experience, you can feel safe in the knowledge that we will both handle complex legal issues on your behalf while providing you with expert strategic advice when the need arises.



## Failing to comply with Anti Money Laundering (AML) and Terrorist Financing (TF) regulations comes with severe corporate and personal penalties.

We have a series of proven solutions tailored for the gaming & betting industry which will not only enable you to meet the necessary standards across British or multi-jurisdictional businesses but also streamline your AML/ TF operations to improve efficiencies and reduce costs.

### Money Laundering

There is an increasing spotlight on financial crime, with new laws coming into play and greater pressure on businesses to be compliant, which can be a drain on resources. Our solutions keep your deal-flow moving whilst meeting the regulatory challenges.

Money laundering and counter terrorist financing is a specialist area which requires expertise. It is very easy to slip up and innocently trigger obligations and failures, which have criminal and civil penalties. We offer expert advice and practical solutions to all sectors in order to navigate various legislation and regulations linked to this complex area of law.

Whether it be advice in relation to the EU Money Laundering Directives/UK money laundering legislation, regulatory investigations, or the Financial Action Task Force (FATF) random inspections which commenced in 2018, we can advise and prepare you for the key areas which you need to address in order to effectively safeguard your business.

### Property sector

We work closely with our property sector clients to combat any negative perceptions and smartly deal with the new landscape in which you operate. Whether it be concerns about a buyer or the need to speedily transact, we take the strain from you with our solutions.

### Gaming & betting

We can make sure that you are on-target with the amended Licence Conditions and Codes of Practice, which came into effect in October 2016, and also the Fourth Money Laundering Directive (4MLD) conditions which came into play in June 2017. We can provide desktop health audits and get both casinos and non-casinos fit to keep their players online.

### Financial services and the regulated sector

There is an increased focus on AML with some very large fines having recently been levied. We have assisted numerous firms to plan their AML compliance programme, as well as dealing with complex transactions. Senior managers and officers continue to face pressures to support the firms' MLRO and liabilities that can arise from a failure to properly plan.



## Ways in which we can help

Protecting your interests is paramount. No contract or business is worth ruining your reputation or spending 14 years in prison. As well as defending SFO enquiries, we protect and guide our clients in their transactions and day-to-day business operations.

Our lawyers have experience in dealing with the issues arising from the UK money laundering and bribery legislation. We are connected internationally and work with other experts around the world to give you mirrored advice in any major jurisdiction, as transactions often cross over.

From planning systems and controls, to advice around third party agents and intermediaries and these elevated risks, we can advise and support you. We work with clients in all sectors: property, gaming, accountancy and legal, to name just a few.

### Money Laundering

- Responding to forensic reports
- Dealing with the police, HMRC and other agencies
- Corresponding with the with the law enforcement and responding to applications for disclosure and Unexplained Wealth Orders
- Structure advice regarding transactions
- Keeping an eye on potential civil knock-on sanctions
- Governance advice and drafting control documents
- Bespoke training tailored to your requirements
- Auditing your systems, files and other controls and reporting to you confidentially

### Anti-bribery and corruption

- Gifts and hospitality policies and decision making
- Reputation management
- Responding to criminal investigations
- Vetting suppliers, including third party intermediaries
- Carrying out due diligence checks in fundamental warranties over anti-bribery and corruption compliance in M&A transactions
- Training
- Advising on penalties
- Advising on criminal sanctions and arising civil claims
- Insurance disputes over defence fees and arguments over capacity

- Advising on self-reporting
- Defending clients from regulatory investigations with criminal and civil charges and penalties attached
- Advising whether a business's activities fall under the definition of a collective investment scheme
- Acting for medical professionals in relation to Medical Practitioners Tribunal ('MPT') hearings
- Assisting with registration with the National Crime Agency ('NCA') and subsequently supporting them through the reporting process.
- Assisting businesses in obtaining FCA authorisations as an AIFM ('Alternative Investment Fund Manager')
- Taking lead on remediation in s166 'skilled person' process with FCA

### Financial Conduct Authority

- Financial Conduct Authority ('FCA') applications for authorisation of payments processing for businesses in UK and Pan-European
- Assisting with Alternative Investment Fund Managers Directive ('AIFMD') applications for small business (UK FCA regulated)
- Defending FCA reviews and putting in interim new governance structures

### Proceeds of crime act

- Advising international clients on Proceeds of Crime Act ('POCA') exposures arising from the sale of a luxury properties
- Advising clients who are restrained as a third party under a POCA order
- Advising clients with frozen assets and bank accounts

## Practical solutions for businesses

### In-house training

The better your knowledge, the safer your business will be from criminal activity. We can offer specialist training, be it for your entire firm or one-on-one sessions with your MLRO. We can give detailed guidance and also go through your industry's 'red flag' indicators, so that your team is fully aware of what's high risk and what's not.

If you are part of the regulated sector, we will ensure that your training meets the standards required by the regulating authority. We also run bespoke training days and mock tribunal hearings based on real life case studies.

### Workshops

Strength through communication and cooperation can be a huge factor in fighting against criminal activity. With this in mind, we regularly host interactive workshops where law firms and other sectors come together to discuss risks and highlight any new issues that have arisen.

### Training packs

We can also produce training packs for distribution amongst your business that can be kept as a point of first reference for employees who have raised suspicions of money laundering.

### Registration and SAR wording

We will help you register with the UK FIU and navigate you through the reporting process from beginning to end.

### Audit and assurance

We can check your policies and procedures are being followed by your colleagues, providing statistics and dashboard information as you require, either monthly, quarterly or annually.

### COLP service

Unlike most law firms, we also provide business services which include a Compliance Officer for Legal Practice (COLP) service. We can be used as a virtual COLP doing all the heavy lifting and keeping you ethically safe.



“Extraordinarily knowledgeable.”

— Legal 500 UK

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**LEGAL ADVICE TO BUSINESSES GLOBALLY FOR ABOUT 150 YEARS.**

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