



Financial Services Regulation 2025



PROFILED:

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Addleshaw Goddard LLP



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Financial Services Regulation



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PERSONAL BIOGRAPHY

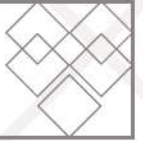
Lisa Lee Lewis leads Addleshaw Goddard's regulatory risk and compliance group, specialising in financial services regulation and financial crime risk management. She provides a rare combination of legal expertise, risk management and compliance strategies to an array of financial services firms and unregulated institutions. She guides board and senior management teams through the labyrinth of regulatory challenges, enabling them to navigate complex regulatory issues, regulatory change and financial crime requirements effectively by integrating technical legal advice with actionable, practical solutions. Her expertise includes refining governance structures, enhancing frameworks, assessing permissions, leading authorisations and navigating regulatory engagements, s166 and assurance reviews.

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**Q&A WITH LISA LEE LEWIS****Could you describe your approach to tackling complex legal challenges?
What principles or philosophies guide your work?**

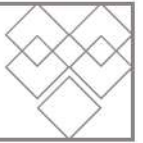
◆ My approach is rooted in a comprehensive understanding of clients' businesses and strategic objectives. This is crucial for delivering tailored advice that resonates with a diverse range of stakeholders. One of my guiding philosophies emphasises the importance of looking further than the strict interpretation of the law to consider the broader operational, commercial, cultural, risk and compliance implications. The team comprises a blend of seasoned financial services regulatory lawyers and professionals with extensive risk and compliance experience, who have developed expertise spanning compliance consultancies, financial institutions and regulatory bodies, and have established strong partnerships with various industry groups and associations. This enables us to deliver comprehensive, forward-thinking counsel. My approach extends beyond navigating the complexities of the law, but doing so in a way that supports our clients' resilience and objectives in a rapidly evolving regulatory landscape so that they are well-prepared to face the future with confidence.

What challenges have you faced in your career, and how have you overcome them? What lessons did you learn from these experiences?

◆ As a Chinese woman raised by non-English speaking, financially struggling immigrants, my journey into law has come across many obstacles. Each obstacle demanded extra perseverance and hard work, but with the steadfast support of my family, friends and colleagues, I faced these challenges head-on. I have been, and am, committed to achieving excellence by working alongside remarkable clients and colleagues, dedicating myself to impactful endeavours and meaningful working partnerships, all while filtering out extraneous obstacles. These experiences have reinforced my belief that with

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dedication and effort, achieving goals is indeed possible, and is a testament to the power of resilience, the value of hard work, and the importance of community support in overcoming adversity and fulfilling aspirations.

**Looking ahead, what are your predictions for this area of the market? What key developments are on the horizon?**

◆ The next few years will see the pace of regulatory change evolving rapidly – whether it is in relation to the crypto roadmap, failure to prevent fraud offence, PISCES, the National Payments Vision, the Senior Managers and Certification Regime, modernisation of the Financial Ombudsman Service, reporting reforms, artificial intelligence legislation, digitalisation or simplifying the Handbook – the pace of change in either direction will be rapid, nonetheless. A pivotal focus will be on fostering regulation that drives growth and innovation, protects consumers and combats financial crime, with due consideration to the interoperability of global standards. This period of change offers an opportunity for start-ups, new entrants and expanding firms to strategically position themselves for success. The conversation will be one of balance, of grasping the nuances of regulatory compliance, and of staying on the right side of the line so that firms can thrive within it while consumers remain protected. Expect challenges that will test resilience and adaptability along this journey. ■

“A PIVOTAL FOCUS WILL BE ON FOSTERING REGULATION THAT DRIVES GROWTH AND INNOVATION, PROTECTS CONSUMERS AND COMBATS FINANCIAL CRIME, WITH DUE CONSIDERATION TO THE INTEROPERABILITY OF GLOBAL STANDARDS.”





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REPRESENTATIVE ENGAGEMENTS

- ◆ Delivered streamlined business and regulatory strategies for various FinTech companies enabling the successful development of innovative financial products and services.
- ◆ Successfully secured authorisations across a diverse range of sectors, including bank branches and subsidiaries, consumer credit, payment services, crypto, e-money, asset management, private equity, brokerage and investment firms. Expertise spans SMCR governance, regulatory permissions, regulatory capital, conduct, risk management, compliance, financial crime, outsourcing and operational resilience frameworks.
- ◆ Guided companies through complex restructurings, addressing regulatory considerations, boundary issues and alignment with regulatory frameworks.
- ◆ Conducted comprehensive governance and financial crime assurance reviews for banking, payments, private equity and asset management institutions.
- ◆ Led s166 and shadow s166 skilled persons systems and controls reviews, including managing regulatory engagement.
- ◆ Enhanced a global bank's compliance with market conduct rules through detailed risk assessments and control reviews.
- ◆ Provided ongoing regulatory advice and guidance to investment management, private equity and brokerage sectors, including board engagement, regulatory change and forward-looking insights.

