



## Claire Wallace

Partner

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Claire Wallace provides expert litigation advice to directors and senior executives facing the prospect of regulatory or criminal investigations, with a particular focus on investigations brought by professional regulators, such as the Solicitors Regulation Authority (SRA), Financial Conduct Authority (FCA), Prudential Regulation Authority (PRA) or Financial Reporting Council (FRC), as well as medical regulators. She is particularly adept at getting to grips with complex financial transactions, products and corporate structures.

Claire also regularly represents individuals at risk of, or under, investigation by the Health and Safety Executive (HSE), Food Standards Agency (FSA) and Trading Standards, in relation to food safety, and health & safety, concerns.

She has experience of advising clients accused of the most serious financial crimes including fraud, bribery and corruption and, in particular, those who may be facing the prospect of parallel regulatory investigations. She has also advised numerous charities and companies on their money laundering obligations under the Proceeds of Crime Act 2002 (POCA).

A dedicated and dynamic lawyer who cares passionately about helping her clients achieve the best possible outcome, Claire's experience of defending regulatory prosecutions means that she is quick to identify any regulatory difficulties which may arise and can advise accordingly. She has successfully negotiated the best possible outcomes for clients in a range of regulatory investigations.

She sits on the Executive Committee of the Financial Services Lawyers Association (FSLA) and is a member of the Health and Safety Lawyers' Association (HSLA), Association of Regulatory and Disciplinary Lawyers (ARDL) and Women's White Collar Defense Association (WWCDA).

## Areas of Expertise

### Regulatory Investigations

Claire has a wide range of regulatory experience. She has a particular expertise in advising individuals in issues arising brought by professional regulators, such as the Financial Conduct Authority (FCA), Prudential Regulation Authority (PRA) or Financial Reporting Council (FRC). She is especially adept at understanding complex financial transactions, products or corporate structures, where needed. She was instructed on one of the few joint investigations brought by both the FCA and PRA and has experience on advising upon misconduct proceedings, allegations of market abuse and insider dealing, and systems and controls failings under the Senior Managers regime.

Claire also specialises in representing professional clients who find themselves under investigation by their regulatory bodies. She has particular experience in advising solicitors in SRA proceedings in relation to a range of misconduct and AML concerns.

In relation to investigations by medical regulators, prior to joining Hickman & Rose, Claire acted for a large professional medical regulator in conducting fitness to practise investigations into registrants, which involved interviewing witnesses, compiling evidence and drafting charges. This experience provided her with unique insight as to the approach regulators take when conducting their investigations. She has acted for clients under investigation by professional regulators, such as the Health and Care Professions Council (HCPC).

Claire has previous experience in dealing with regulatory matters brought by investigatory bodies including the ICO, Health and Safety Authority (HSE), Food Standards Agencies (FSA) and Trading Standards.

A dedicated and dynamic lawyer who cares passionately about helping her clients achieve the best possible outcome, Claire's experience of defending regulatory prosecutions means that she is quick to identify any regulatory difficulties which may arise from parallel proceedings.

### Fraud, Corruption & Bribery

Claire has worked on some of the most significant corporate crime cases, involving allegations of bribery and corruption, money laundering and fraud. She regularly deals with complex and high profile cases brought by the police, SFO, HMRC and FCA.

She has previously acted for an individual under investigation in a multi-jurisdictional SFO investigation regarding allegations of wide-spread money laundering, fraud and bribery. Other major cases have included acting for clients accused of Cheating the Revenue by the HMRC, involving a high profile tax avoidance film scheme, and advising clients on their UK exposure when under investigation by foreign investigators, such as the DoJ.

Claire also advises individuals, companies and charities on potential concerns regarding the Bribery Act 2010 and Proceeds of Crime Act 2002 (POCA) when going about their ordinary course of dealing and day-to-day business.

### Extradition

Claire works closely with Andrew Katzen in the firm's extradition team. She has previously acted for an individual who worked for a global investment bank in extradition proceedings brought by the United States. This was in connection with high profile allegations of bribery and corruption.

She has also acted for individuals in their fights against extradition resulting from the issuance of European Arrest Warrants. Examples include successfully arguing against extradition of an international businessman to Italy, on the basis of s.12A Extradition Act 2003 and Article 3.

### Health & Safety/Food Safety

Claire has been defending serious health & safety and food safety cases, for nearly a decade. She has considerable experience in defending cases brought against individuals, companies and directors by the Health and Safety Executive (HSE), Food Standards Agency (FSA), Local Authorities and Trading Standards.

She has represented clients in the most serious cases involving fatalities and serious injuries. She works closely with the firm's renowned inquests team, so that a full range of expertise is available for her clients where a fatality has occurred. She has advised on issues relating to falls from height, fire safety and asbestos, accidents in care home settings and accidents at work, as well as concerns relating to pest infestation, salmonella certificates, free-range labelling and food chain information (FCIs).

She has been instructed by 'household name' companies to conduct internal investigations into potential/actual health and safety concerns arising from an incident. In relation to internal investigations and advice in the aftermath of an incident, she can provide assistance with crisis management concerns such as conducting internal interviews, collating relevant material and liaising with the HSE or other investigatory bodies in order to protect the best interests of the company and directors.

## What Others Say

- "Key Lawyer" in Professional Discipline – *Legal 500, 2024*
- "Key Lawyer" in Fraud: White-Collar Crime – *Legal 500, 2024*
- "Key Lawyer" in Financial services – contentious – *Legal 500, 2024*
- "[Part of a] standout trio" in Fraud: White Collar Crime – *Legal 500, 2022*