

DISCIPLINARY AND
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IN HONG KONG

Third Edition



by
Andrew Mak



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Disciplinary And Regulatory Proceedings Seventh Edition

Lyndon Maither



Disciplinary And Regulatory Proceedings Seventh Edition:

Disciplinary and Regulatory Proceedings Brian Harris, 2013 *Disciplinary and Regulatory Proceedings* is the leading work on this important and dynamic area of law in the UK. The book provides an authoritative examination of the general principles that apply to all UK regulatory and disciplinary tribunals including coverage of the basis of the tribunal's authority and extent of its jurisdiction, natural justice, human rights, grounds for disciplinary action, investigations, the decision to prosecute, hearings, evidence, appeals and enforcement. It goes on to examine the specific working of three major professional areas in the UK: healthcare, the FSA and legal services. In addition to this core commentary, guidance on the practical application of the general principles is provided, looking in detail at such issues as the retrospective effect of rule changes, malicious falsehood, data protection and freedom of information, whistleblowing and guidance on defending a claim or how to avoid or defuse a claim. The disciplinary arrangements of the most prominent regulators are described in outline in a separate section. Since the previous edition, the regulatory arrangements of most of the important statutory regulators have undergone a massive restructuring by Parliament, which is reflected throughout this seventh edition, notably in the chapters relating to legal, financial and health services. Many notable recent cases are examined, covering various legal realms: the perils of taking shortcuts in investigations and the charging process; the right to cross-examine; the role of privilege in the Solicitors Disciplinary Tribunal; waiver of natural justice; impartial tribunals and the incompatibility of tribunal members' roles; the desirability of indicative sanctions; Convention rights in Interim Orders.

Disciplinary and Regulatory Proceedings Brian Harris, Andrew Carnes, 2009. Written by leading practitioners with considerable experience in UK tribunals, this work provides an authoritative examination of the general principles that apply to all UK regulatory and disciplinary tribunals, including coverage of the basis of the tribunal's authority and extent of its jurisdiction, natural justice, human rights, grounds for disciplinary action, investigations, decision to prosecute, hearings, evidence, appeals and enforcement. Guidance on the practical application of the general principles is provided, looking at such issues as the retrospective effect of rule changes, malicious falsehood, data protection and freedom of information, whistleblowing and guidance on defending a claim or how to avoid or defuse a claim. The disciplinary arrangements of the most prominent regulators are described in outline in a separate section. This fifth edition includes a new chapter on Legal Services Regulation, significant new case law including the House of Lords' decision in *Re B Children* concerning the standard of proof in civil proceedings, developments in health care regulation as more small regulatory bodies come under the Health Professions Council, developments in financial services risk-based regulation, new disciplinary schemes e.g. Accountants' Joint Disciplinary Scheme, Bar Standards Board rules and Solicitors' disciplinary proceedings rules, the UK's Local Government and Involvement in Public Health Act 2007 and its impact on the Data Protection Act.

Disciplinary and Regulatory Proceedings Gregory Treverton-Jones QC, Alison Foster QC, Saima Hanif, 2019-11-26. Long established as the leading work in this area, this title has provided authoritative guidance to lawyers

tribunals and other experts dealing with professional discipline and regulation Written by a team of specialist authors who have extensive experience in this area thereby ensuring that every area is covered in depth The book addresses all the major regulatory fields of expertise and provides expert analysis on the full range of issues that may arise in the course of disciplinary proceedings Part 1 GeneralPart 2 The Disciplinary Process Part 3 Specific Regulatory RegimesPart 4 Data Protection and Freedom of Information Disciplinary and Regulatory Proceedings G. D. Treverton-Jones,Alison Foster,Saima Hanif,2015 Disciplinary and Regulatory Proceedings is the leading work on this important and dynamic area of UK law For 20 years it has provided authoritative guidance to lawyers tribunals and other experts dealing with professional discipline and regulation in the UK This eighth edition has been written by a new team of specialist authors and covers all the major regulatory fields of expertise The text has been substantially rewritten and restructured into four major parts General The Disciplinary Process Specific Regulatory Regimes and Data Protection and Freedom of Information As with previous editions it looks in detail at the application of the general principles that govern this area of law together with greater analysis of UK case law rules and practice directions of the various disciplinary bodies and guidance issued by the various professional bodies The book also provides in depth treatment of the relevant procedures to be followed including an extended section on the decision to prosecute This edition includes a new chapter on disclosure and confidentiality as well as up to date chapters on healthcare financial services and legal services which have all been substantially rewritten to reflect major legislative changes Nickolaou V. Securities and Exchange Commission ,1980 **SEC Docket** United States. Securities and Exchange Commission,1992 Allan V. Securities and Exchange Commission ,1978 Accounting Reform and Investor Protection United States. Congress. Senate. Committee on Banking, Housing, and Urban Affairs,2003 Shultz V. Securities and Exchange Commission ,1979 **Treatise on the Law of Securities Regulation** Thomas Lee Hazen,2009 Current Publications in Legal and Related Fields ,2008 **McKinney V. Meese** ,1986 Gold V. Securities and Exchange Commission ,1994 **Brown V. Williford** ,1986 *The Law and Practice of Disciplinary and Regulatory Proceedings* Brian Harris,Andrew Carnes,Garrett Byrne,1999 **Goldstandt V. Bear Stearns & Co** ,1975 Larsen V. Sielaff ,1981 *Canadian Securities Law, The Ontario Securities Act and Alberta Securities Act, "The Top 111 Cases": A Primer* Lyndon Maither, *Scott V. Schmidt, Jr* ,1984 Mister Discount Stockbrokers, Inc. V. Securities and Exchange Commission ,1984

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