



# Regulatory Enforcement

Our dedicated regulatory enforcement team draws on the expertise of our litigation and corporate commercial law practices to help clients successfully manage the impact of any regulatory enforcement investigations.

The practice focuses on two key areas of regulation: issues relating to Hong Kong's Securities and Futures Commission (SFC) and those relating to the Hong Kong Stock Exchange (HKEx). Our team provides advice on all regulatory investigations and enforcement actions, including insider dealing, market misconduct and civil liabilities. While much of our focus is on these Hong Kong regulatory bodies, the team also regularly manages cross-border issues or those involving overseas entities.

## Regulatory enforcement

- › advising on the management of all regulatory enforcement cases, including those focused on allegations of insider trading, market misconduct or conspiracy to defraud
- › assisting businesses to resolve disputes by the most effective means

## SFC/HKEx investigations

- › providing advice in relation to regulatory enforcement actions initiated by SFC or HKEx
- › advising on ongoing investigations, including those related to insider dealing, market misconduct and other offences under the Securities and Futures Ordinance

## Investigations by law enforcement agencies

- › providing support for companies facing investigations by law enforcement agencies, including the Commercial Crime Bureau (CCB) and the Independent Commission Against Corruption (ICAC)
- › acting for listed companies and senior executives in relation to investigations relating to white collar crime

## Cross-border asset tracing or enforcement

- › delivering comprehensive support to companies facing cross-border investigations or those involving overseas entities
- › drawing on local insight and expertise via our international network to support the management of cross-border cases
- › assisting companies to trace, preserve and recover assets through pre-emptive actions

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## Contacts

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