



SW Newsletter

August 2017

史蒂文生黃律師事務所通讯

2017年8月

As a dynamic, forward-looking law firm, Stevenson, Wong & Co. provides effective solutions for clients facing a variety of business and legal issues. Our international network allows us to support clients around the globe, helping to bridge China and the world.

史蒂文生黃律師事務所是一家高瞻遠矚，充滿熱誠和動力的律師事務所，我們致力為客戶提供高效的法律顧問服務方案，協助他們解決各項商業疑難和法律問題。我們通過國際網絡為環球客戶提供專業服務助他們與中國接軌，同時放眼世界。

Transaction Updates 上市交易

SW assisted Wealthy Way Group Limited (3848.hk) in its successful listing on HKEx
史蒂文生黃協助富道集團有限公司(3848.hk)于香港聯交所成功上市



SW has advised the sponsor and underwriters of Wealthy Way Group Limited (Stock code: 3848) ("Wealthy Way") in the successful listing of Wealthy Way on the Main Board of The Stock Exchange of Hong Kong Limited (the "Stock Exchange").

The shares of Wealthy Way were listed on the Stock Exchange on 21 July 2017. 36 million shares were offered, among which 32.4 million were offered for placing and 3.6 million for subscription by the public. The final offer price was HK\$5.56 per offer share and the net proceeds amounted to approximately HK\$173.1 million.

Wealthy Way is a financial leasing and advisory services provider based in Shenzhen, Guangdong Province, the PRC, primarily specialising in the provision of financial leasing services and advisory services for customers in the PRC. Since 2014, it has focused on certain specific industry segments with growth potential, such as airlines, health care service providers and energy saving equipment providers.

本所作為保荐人及包銷商的法律顧問，成功協助富道集團有限公司（下稱「富道」）（股份代號：3848）于香港聯合交易所有限公司主板上市。

公司股份在2017年7月21日正式上市，總發售股份數目為3600萬股，其中配售股份數目為3240萬股，公开发售股份數目為360萬股。發售價為每股5.56港元，集資淨額約為1億7310萬港元。

富道為扎根于中國廣東省深圳市的融資租賃及顧問服務供應商，主要專門為中國客戶提供融資租賃服務及顧問服務。自2014年起，富道專注于若干具有增長潛力的指定行業分類，如航空公司、保健服務供應商及節能設備供應商。

SW assisted Hang Chi Holdings Limited (8405.hk) in its successful listing on HKEx
史蒂文生黄协助恒智控股有限公司(8405.hk)于联交所上市



SW acted as legal advisers to Hang Chi Holdings Limited (Stock Code: 8405) (“Hang Chi”) to list on the Growth Enterprise Market of The Stock Exchange of Hong Kong Limited (the “Stock Exchange”).

The shares of Hang Chi were listed on the Stock Exchange on 12 July 2017. 100 million shares were offered, among which 50 million were offered for placing and 50 million for subscription by the public. The final offer price was HK\$0.72 per offer share and the net proceeds amounted to approximately HK\$45.5 million.

Hang Chi is an established operator of elderly residential care homes in Hong Kong providing comprehensive residential care home services such as accommodation with dietician-managed meal plan, caretaking assistance, regular medical consultation and therapy through the network of “Shui On 瑞安” and “Shui Hing 瑞兴” branded elderly residential care homes across four districts in Hong Kong.

本所作为恒智控股有限公司（下称「恒智」）（股份代号：8405）的法律顾问，协助公司于香港联合交易所有限公司创业板上市。

公司股份在2017年7月12日正式上市，总发售股份为1亿股，其中5千万股为配售，另外5千万股为公开发售。配售价每股为0.72港元，集资净额约为4,550万港元。

恒智乃香港安老院舍的知名营运商之一，于香港的四个地区透过「瑞安」及「瑞兴」品牌的安老院舍网络，为长者提供营养师管理膳食计划、护理协助、定期诊疗及物理治疗等全面的安老院舍服务。

SW Spotlight 史蒂文生黄焦点

Hong Kong Court Appoints Interim Receivers in Support of PRC CIETAC Arbitration 史蒂文生黄成功代理委任临时接管人支援中国贸仲仲裁

Hong Kong has long been an arbitration-friendly jurisdiction. Since the Arbitration Ordinance took effect from June 2011, as seen from various precedents, the Hong Kong Courts have been very supportive for international arbitration. The Court is willing to grant emergency/interim relief to preserve evidence, assets and the status quo as and when the situation calls for such reliefs, pending the final resolution of the dispute by the arbitral tribunal. The Court’s supportive stance is on full display in the latest case *Chen Hongqing v Mi Jingtian & Others* (HCMP 972/2017).

香港法庭为仲裁友善司法区。自《仲裁条例》在2011年6月生效起，从各司法审判案例可见，香港法庭积极支援全球仲裁。若在案情合适、情况许可时，法庭会愿意颁予紧急临时济助，以保全证据、财产及维持现况，直至仲裁庭作出终局裁决为止。法庭支持仲裁的取态在最新一案陈宏庆诉必敬田案(HCMP 972/2017)中充份体现出来。

Background

The Plaintiff and the Defendants as well as other third parties entered into a series of loan and share pledge agreements, whereby the Defendants pledged their shares in China Shanshui Investment Company Limited (a Hong Kong company) to the Plaintiff. Any transfer of the shares to third parties was expressly prohibited in the agreements. The Plaintiff and the Defendants had some disputes in relation to the exercise of voting rights, and in February 2017 submitted the matter to CIETAC for determination in accordance with the agreements.

In March 2017, the Defendants agreed to sell the shares to the Asia Cement Corporation (ACC). In order to protect his interests, the Plaintiff invoked section 21M of the High Court Ordinance (Cap. 4) and section 45 of the Arbitration Ordinance (Cap. 609) to apply for interim reliefs, including the appointment of receivers over the shares in question and an injunction to restrain the Defendants from taking further steps to transfer the shares.

On 27 June 2017, the Honourable Madam Justice Mimmie Chan handed down judgment, and granted the reliefs sought.

Significance of the Case

As explained above, the Court has carefully weighed various factors in the balance of convenience in great detail. This case could serve as some guidance and set a great example of how the Court shall approach different intricate factors and strike a balance. It is also shown that if it is necessary to preserve assets for the enforcement of arbitral awards, notwithstanding that the measures may affect the interests of third parties, the Court would appoint receivers as an interim relief without hesitation in appropriate cases. The Court also exhibits the willingness to grant supplemental measures in support of international arbitration.

Further, this case also demonstrates that since the available interim measures in the PRC courts are limited, the parties may consider seeking relief from Hong Kong court in aid of PRC arbitration, to preserve assets and maintain status quo. The litigation team of Stevenson, Wong & Co., led by Partner Ms. Heidi Chui (Head of Dispute Resolution Department), assisted by Senior Associate Ms. Katy Lai, Associate Mr. Kyle Lo, and Trainee Solicitor Mr. Benson Cheung, acted for the Plaintiff in the application and successfully obtained the interim reliefs.

Please visit our website www.sw-hk.com for further information.

案件背景

原告人与各被告人及其他第三方签订了一系列借款及质押协议，当中各被告人将其香港公司中国山水投资有限公司股权质押至原告人。质押协议订明各被告人不得转让该等股权至任何第三方。原告人与各被告人就股权投资权出现争议，于是在2017年2月按质押协议规定把争议提交至北京中国国际经济贸易仲裁委员会解决。

在2017年3月，各被告人签订协议向亚洲水泥集团出售相关股权。为维护权益，原告人根据香港法例第4章《高等法院条例》第21M条及第609条《仲裁条例》第45条，向香港法院申请就该等股权委任临时接管人，及禁制令禁止各被告人采取行动转让股权。

在2017年6月27日，陈美兰法官颁下判词，批准委任临时接管人及颁下禁制令等济助。

本案深远的影响

如上述，法庭在本案中就方便上的衡量作出详细的分析及考量，相信若日后案件存有各种相似复杂因素，本案将可为法庭如何进行分析各项因素及取得平衡有着深远的影响，并对日后临时济助的申请起了指引示范的作用。本案显示即使济助将影响第三方权益，经衡量各项因素后，在有需要进行财产保全而确保仲裁裁决可供执行的情况下，法庭将毫不犹豫颁予委任接管人等临时济助。法庭亦愿意在适当情况下颁予补充济助，以支援全球仲裁。

另外，此案亦显示，虽然国内法院相对香港法院可以作出仲裁中间措施的方式较少，惟当事人可以向香港法院寻求支援国内仲裁的各项保存及维持现状的中间措施，充分保障当事人权益。

史蒂文生黄律师事务所诉讼团队合伙人及诉讼部主管徐凯怡律师带领黎嘉铨高级律师、卢家俊律师及张肇庭实习律师协助原告人申请并获得胜诉判决，成功取得上述临时济助。

如欲了解更多详细内容，请浏览我们的网站 www.sw-hk.com。

April 10

SW held seminar on recent development of GEM IPOs

史蒂文生黄举办创业板上市最新规定讲座



Our partner Mr. Hank Lo (2nd from right) and Associate Mr. Terence Lau (1st from right) held the seminar at The Society of Chinese Accountants and Auditors

本所合伙人劳恒晃律师（右二）联同刘砚枫律师（右一）于香港华人会计师公会举行讲座

史蒂文生黄律师事务所于4月10日于香港华人会计师公会举行关于创业板上市及配售最新规定的讲座。

本所合伙人及企业融资服务主管劳恒晃律师联同刘砚枫律师在会上探讨与此有关的多个议题，当中包括证券及期货事务监察委员会（下称「证监会」）与香港联合交易所有限公司（下称「联交所」）于2017年1月20日就创业板股份首次公开招股活动发表联合声明及证监会就创业板股份上市及配售给保荐人、包销商及配售代理的指引，吸引80多名包括执业会计师的参加者出席讲座。

证监会和联交所发布联合声明回应近年创业板股份股价急剧波动，劳律师及刘律师向参加者简单介绍了联合声明及指引，并提醒公司在申请创业板上市时遵守《创业板上市规则》的重要性。为确保市场上有充足股份并防止股价被操控，《创业板上市规则》第11.23条列明寻求上市的证券必须有一个公开市场。劳律师强调，即使公司按《创业板上市规则》第11.23(2)(b)条的要求，于上市时公众持有的股本证券已由最少100个人持有，亦未必等同符合《创业板上市规则》第11.23条。

劳律师：「曾经有案例显示，首25名承配人获配售超过九成股份，而剩余的少量股份则由数量颇多的股东持有以达到公众持股人人数的最低要求，该上市的证券被质疑没有提供公开市场。」

刘律师亦就证监会发出的指引阐述了保荐人、包销商及配售代理在新股上市及配售时的责任，例如充分执行「认识你的客户」程序，以及制订健全的推销及配售策略。

多名与会者在问答环节询问联合声明及指引对日后于创业板申请上市的影响，劳律师及刘律师均详细回答，提供精辟独到的见解，获得参加者的正面反应。

On 10 April 2017, Stevenson, Wong & Co. held a seminar at The Society of Chinese Accountants and Auditors in relation to the latest listing and placing requirements of Growth Enterprise Market ("GEM") IPOs.

Mr. Hank Lo, partner and head of corporate finance, and Mr. Terence Lau, associate, explained the key issues relating to the joint statement issued by the Securities and Futures Commission ("SFC") and The Stock Exchange of Hong Kong Limited on 20 January 2017 and the "Guideline to sponsors, underwriters and placing agents involved in the listing and placing of GEM stocks" issued by the SFC. The seminar attracted around 80 attendees, including practising accountants.

The joint statement was made in response to the volatile price movements of GEM stocks in recent years. Mr. Lo and Mr. Lau briefly introduced the joint statement and the Guideline, which emphasises the importance for GEM listing applicants to abide by the GEM Listing Rules. In particular, GEM Rule 11.23 requires an open market in the securities for which listing is sought. While the rule aims to ensure there is sufficient liquidity of the shares in the market and to minimise the situations giving rise to manipulation of share price, Mr. Lo emphasized that having met the minimum number of 100 public shareholders as required under GEM Rule 11.23(2)(b) does not necessarily mean GEM Rule 11.23 has been satisfied.

"There were cases where more than 90 percent of the offered shares were taken up by the top 25 places and the remaining taken up by a larger number of shareholders to meet the minimum public shareholders requirement yet it was suspected that the conditions for an open market may not exist," Mr. Lo stated.

Mr. Lau also gave an overview of the Guideline, which covers the general obligations of sponsors and placing agents in relation to new listing and placing, such as conducting adequate "know-your-client" procedures and adopting a robust marketing and placing strategy.

In the Q&A session, the attendees asked questions relating to the impact for those involved in GEM listings. Mr. Lo and Mr. Lau answered the questions in details with in-depth viewpoints. The seminar received positive feedback from the attendees.

April 20

SW attended 2017 China Law Awards prizing ceremony

史蒂文生黄出席2017年度中国法律大奖颁奖典礼

Our Mr. Eric Lui attended China Law Awards 2017 on 20 April in Beijing. The 14th annual event was organized by Asian Legal Business (ALB) at The Park Hyatt Hotel in Beijing. More than 260 representatives from top law firms and companies in China joined the ceremony.

At the award ceremony, AllBright Law Offices which is in association with SW won the prize for the Shanghai Law Firm of the Year and the Project Finance Deal of the Year with the syndicated loan project for the privatization of Qihoo 360. AllBright's partner James Guo received the award on behalf of the firm and Mr. Lui congratulated AllBright for its exceptional achievements.

Meanwhile, Mr. Lui also visited AllBright's office in Beijing and gave a presentation on main points for enterprises to note for overseas listing, merging and acquisition. Mr. Lui introduced the basic requirements and procedures of IPOs in Hong Kong. He also shared his insights regarding to "Provisions for Foreign Investors to Merge Domestic Enterprises" promulgated by the Ministry of Commerce.

本所合伙人吕志豪律师于4月20日在北京出席了2017年度中国法律大奖颁奖典礼。第14届中国法律大奖由《亚洲法律杂志》主办，颁奖礼假北京柏悦酒店举行，吸引超过260名国内顶尖律所及公司的代表出席。与本所联营的锦天城律师事务所在颁奖盛典中荣膺上海最佳律师事务所，并以奇虎360私有化银团贷款项目夺得年度最佳项目融资交易大奖，并由合伙人郭重清律师代表锦天城律师事务所领奖。吕律师为锦天城的骄人成就致以衷心祝贺。

吕律师此行亦拜访了锦天城的北京办公室，并以「企业在海外上市及并购的重点」为题进行简报会。吕律师除介绍在港上市的基本规定和程序，更就商务部颁布的《关于外国投资者并购境内企业的规定》（即「十号文」）和与会者分享他的思考和心得。

多名与会者在问答环节询问联合声明及指引对日后于创业板申请上市的影响，劳律师及刘律师均详细回答，提供精辟独到的见解，获得参加者的正面反应。

April 27 - 30

SW attended the Interlaw Americas & Asia Pacific Regional Meeting 2017

史蒂文生黄律师事务所出席2017 Interlaw美洲及亚太区域会议



Our Mr. Willy Cheng and Ms. Lai Lam attended the Interlaw Americas & Asia Pacific Regional Meeting held in Seattle, USA between 27 and 30 April 2017.

The theme of this event was 'Soaring above the Cloud'. In keeping with Seattle's dominance as a centre for technology and innovation, the meeting showcased delegates with invaluable insights from the presentation of Microsoft's and IBM's representatives, looking into emerging technologies and how these would impact the clients and practices now and in the future.

During the event, Mr. Cheng and Ms. Lam also attended several meetings on Employment, Next Generation and Managing Partners and interacted with many other Interlawyers from within out outside of the Asia Pacific Region. Delegates found the meeting informative and looked forward to networking at other Interlaw conferences during the coming months and ending with the AGM in New York in October.

本所合伙人郑炎潘律师及林丽嫦律师于2017年4月27至30日出席了于美国西雅图举行的Interlaw美洲及亚太区域会议。

会议主题为「翱翔云端」(Soaring above the Cloud)。西雅图作为科创重中心，是次会议邀得微软(Microsoft)及国际商业机器(IBM)的代表进行简报，深入探讨新兴科技在目前及未来对法律服务的影响。

郑律师及林律师亦出席了多个关于就业、下一代及经营合伙人的专题讲座，并与众多来自亚太区内外不同地方的Interlaw律所代表交流。出席者认为是次会议提供了很多有用信息，亦期待在本年稍后的会议，及最后在十月于美国纽约举行的周年大会中再次聚首。

May 25

SW participated in "SmartHK" exhibition in Fuzhou 史蒂文生黄参与福州「创新升级·香港论坛」



Mr. Eric Lui (right) and Mr. Rodney Teoh (left) attended SmartHK 2017 at Fuzhou

吕志豪律师(右)与张源辉律师(左)出席于福州举办的「创新升级·香港论坛」

SW partner Mr. Eric Lui, Mr. Rodney Teoh and Head of Business Development (China), Ms. Connie Yeung attended the "SmartHK" exhibition held at Shangri-La Hotel, Fuzhou on 25 May 2017.

In response to the Central Government's 13th Five-Year Plan and Belt and Road Initiative, the signature SmartHK promotion held by Hong Kong Trade Development Council aimed to promote Hong Kong's creative, technology and business-support expertise with themes focusing on industrial transformation and upgrading. The major services covered professional services, innovative design and marketing, technological advancement and management upgrading.

With the opportunity to explore new markets, SW successfully reached out to potential clients and established new connections in mainland China through this event. During the exhibition, a large number of business representatives from various sectors including real estate, E-commerce and from the media industry visited SW's booth and expressed tremendous interest in our services.

本所合伙人吕志豪律师、张源辉律师及业务发展主管(中国)杨颂雅于2017年5月25日出席于福州香格里拉大酒店举行之「创新升级·香港论坛」。

以配合中央政府推出的「十三五」规划及「一带一路」发展战略，香港贸易发展局举办是次论坛的主题为产业创新升级，以展览会、大型论坛、研讨会、商贸配对及交流活动，显示香港各项服务业优势，及向内地企业推广香港「一站式」的顾问服务。展会主题包括专业服务、设计创新及市场推广、科技创新及管理创新等范畴。

该博览提供宝贵机会予香港服务业探索新市场，本所透过是次展会成功与内地的潜在客户联系，拓展业务网络。在博览期间，多位来自地产发展、电子商贸及媒体事业等不同界别的企业代表参观本所摊位，同时对本所提供之服务表示深感兴趣。

June 12

SW held online seminar on "Legal Risk Management of IPO in Hong Kong" 史蒂文生黄讲解赴港上市的法律风险防控



On 12 June 2017, our partner Mr. Eric Lui was invited by "zhi10.com" to host an E-class in Shanghai with the topic "Legal Risk Management of IPO in Hong Kong". Mr. Lui introduced the requirements for IPO's in Hong Kong and examined the legal risks that mainland enterprises might face during the process, such as suitability of the IPO, responsibility of directors, ongoing obligations of a listed company, connected transactions and market misconduct so as to cover effective planning for risk management. The E-class received positive feedback and the registered users of "zhi10.com" can watch the recorded seminar online.

"zhi10.com" is a renowned online legal education platform in mainland China, which has previously invited a number of distinguished practitioners from top law firms. Having a strategic association with AllBright Law Offices, one of the nation's best law firms, Stevenson, Wong & Co. has a profound experience and knowledge in both China and Hong Kong with a comprehensive network in the two jurisdictions. SW was delighted to have the opportunity to give the online seminar for "zhi10.com" and the firm looks forward to joining more events to connect with mainland China.

本所合伙人吕志豪律师应「智拾网」线上教育平台邀请，于2017年6月12日以「赴港上市的法律风险防控」为题赴上海举办网上直播课程。吕律师在课程中介绍了公司赴港上市的基本要求，从而探讨赴港上市的法律风险，包括上市适合性、董事责任、上市公司的持续责任、关连交易及市场失当行为等在港上市时可能遇到的法律风险，并研究如何制订有效的防控规划。是次网上课程反应理想，学员除参与直播，亦可于「智拾网」观看课程视频。

「智拾网」为内地知名法律在线教育平台，过往曾与各大律所知名律师合作举办网上课程。史蒂文生黄与在中国内地顶级律所锦天城律师事务所建立策略联盟，对于两地法律拥有丰富知识和实战经验。是次在「智拾网」的网上课程提供了两地就上市法律的交流机会，史蒂文生黄期望将来参与更多活动，深化与内地的联系。

June 16

SW sponsored Deloitte Technology Fast 20 and Rising Star in Hong Kong 史蒂文生黄赞助首届德勤-香港高科技高成长20强项目暨德勤-香港明日之星项目



Left to right: Ms. Polly Lee (Partner of Deloitte China – Audit & Assurance), Ms. Cornelia Chu, Mr. Hank Lo, Mr. Bong Chan (Partner & Southern Region Central Business Development Leader of Deloitte China), Mr. Terence Lau and Mr. Sunnie Sy (Partner of Deloitte China – Audit & Assurance)

由左至右：德勤中国审计合伙人李宝芝女士、朱憲潜律师、劳恒晃律师、德勤中国华南区市场发展中心领导合伙人陈耀邦先生、刘砚枫律师及德勤中国审计合伙人施安迪先生

On 16 June 2017, our partners Mr. Hank Lo and Ms. Cornelia Chu and associate Mr. Terence Lau attended the kick-off ceremony of the first Deloitte Technology Fast 20 (TF20) and Rising Star in Hong Kong.

Stevenson, Wong & Co. is honoured to be a Diamond Sponsor of the programs which aim to recognize fast-growing companies with viable business models and to encourage the development of innovative and promising industries in Hong Kong. The programs are open to hardware, software, communications, media, life sciences and clean technology companies.

The programs serve as a platform for fast-growing and high technology companies to gain market visibility as they share their success stories and showcase their products and services. The participating companies can also take the opportunity to share their experience on tackling the common challenges in the industry. More importantly, Stevenson, Wong & Co. can work together with other supporting partners and potential investors to build an ecosystem in Hong Kong.

“I am a strong believer that technology will change the future of work. Even in the legal industry, I already see technology being used to automate certain areas of work such as due diligence and discovery. Stevenson, Wong & Co. is excited to be a partner of the Deloitte TF20 and Rising Star programs, and will continue to play a part in supporting the tech start-up community in Hong Kong.” said Mr. Lo.

本所合伙人劳恒晃律师、朱憲潜律师及刘砚枫律师于2017年6月16日出席了首届德勤-香港高科技高成长20强项目暨德勤-香港明日之星项目的启动礼。

史蒂文生黄为项目的钻石赞助商之一。是次项目旨在发掘采用可行商业模式快速成长的科技企业，并致力发展香港创新和具前景的行业。是次项目欢迎的科技企业覆盖硬件、软件、通讯、媒体、生命科学和清洁技术等领域。

德勤-香港高科技高成长20强项目暨德勤-香港明日之星项目为香港高科技高成长企业提供了客观平台，让企业分享成功经验，展示产品和服务，从而提高市场知名度。各参选企业也可以借此机会互相借鉴如何解决行业普遍问题。重要的是，史蒂文生黄可借此机会与战略合作伙伴和潜在投资者合力在香港建构高科技产业生态圈。

劳律师表示：「我一直相信科技将改变未来的工作模式。以法律界为例，我已看到科技把某些工序自动化，例如尽职调查和文件披露。史蒂文生黄很高兴能够成为德勤-香港高科技高成长20强暨德勤-香港明日之星项目的合作伙伴，我们将继续支持香港的科技初创企业社群。」



Mr. Hank Lo (fourth from the left) celebrate the ceremony with other guests

劳恒晃律师（左四）在台上与其他嘉宾共同主礼祝酒仪式

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