



Regulatory Enforcement & Compliance

Our dedicated regulatory enforcement team draws on the expertise of our litigation and corporate commercial law practices to help clients effectively handle regulatory enforcement investigations.

The practice focuses on two key areas: (1) Handling regulatory investigations and enforcement actions by the Securities and Futures Commission (SFC), the Hong Kong Stock Exchange (HKEx), Hong Kong Monetary Authorities (HKMA), Commercial Crime Bureau (CCB) and the Independent Commission Against Corruption (ICAC) and (2) Advising listed companies and licensed corporations on compliance and regulatory matters. Our team advises on all aspects of investigations and enforcement actions, and is experienced in handling investigations relating to breach of Listing Rules, market misconduct and derivative civil proceedings. While much of our focus is on Hong Kong regulatory bodies, we also regularly act for companies facing cross-border regulatory investigations or issues.

SFC/HKEx investigations

- › handling investigations initiated by the SFC, HKEx and HKMA, including those relating to breach of Listing Rules, market misconducts and other offences under the Securities and Futures Ordinance
- › advising on regulatory enforcement actions of the SFC and HKEx and the relevant derivative civil proceedings

Investigations by law enforcement agencies

- › assisting companies to deal with investigation by law enforcement agencies, including the CCB and ICAC
- › acting for listed companies and their senior executives in white collar crimes investigations

Non-contentious regulatory and compliance issues management

- › acting for companies in their application for licence to carry out regulated activities
- › advising on the relevant supervisory actions by regulatory bodies, including the routine intermediaries inspections by the SFC
- › advising listed companies and licensed corporations on issues relating to compliance with the Listing Rules, the Securities and Futures Ordinance and other relevant applicable laws and regulations

Cross-border asset tracing and enforcement actions

- › delivering comprehensive support to companies facing cross-border investigations and 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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