

MAIN CONTACT



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LICENSING & COMPLIANCE

OVERVIEW

Robertsons' Licensing and Compliance team provide a wide array of specialist services to meet the increasingly complex requirements of our clients in one of Asia's leading financial services centres.

In addition to representing a broad range of financial services' clients and advising them on all areas of the regulatory regimes in Hong Kong, we regularly assist funds and asset managers in establishing a presence in the territory and obtaining the requisite licenses for their businesses here. We have represented clients in their applications for the various types of licences issued by Securities and Futures Commission ("SFC") as well as assisting these clients in all matters relating to the ongoing maintenance of their licences. We also advise on licensing matters for institutions regulated by the Hong Kong Monetary Authority as well as as licensed companies under Money Lenders Ordinance.

In conjunction with our [Private Equity & Commercial](#) Department, we have acted on numerous successful applications to approve takeovers of SFC - licensed vehicles. Together with our [Corporate Finance and Capital Markets](#) Department, we act on the regulatory aspects of all types of transactions undertaken by listed companies in Hong Kong.

More generally, our Regulatory Team provides ongoing compliance advice and assistance to banks, financial institutions, regulated intermediaries and Hong Kong listed companies on all aspects of their business in the territory.



TEAM MEMBERS



Candice Lam
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Min Sung
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Michael Lintern-Smith
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