

MAIN CONTACT



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REGULATORY INVESTIGATIONS & PROCEEDINGS

OVERVIEW

Our Regulatory Investigations and Proceedings team has substantial experience in dealing with enquiries and investigations by the Securities and Futures Commission (SFC), the Hong Kong Monetary Authority, the Hong Kong Stock Exchange and the Confederation of Insurance Brokers. In addition, we have acted in several cases of prosecutions before the Market Misconduct Tribunal, in proceedings in the Securities and Futures Appeals Tribunal and in various contested proceedings pursued by the SFC in its regulatory watchdog role.

We also work closely with our [Criminal and Commercial Crime](#) Department on more serious investigations undertaken by the regulatory authorities in the Territory.



TEAM MEMBERS



Sharon Leung
Associate