



PRACTICE AREAS

Banking & Finance - Non-Contentious
Fintech
Licensing & Compliance
Private Equity & Commercial

LANGUAGES

English, Cantonese

QUALIFICATIONS & EDUCATION

Solicitor, Hong Kong (2009)
Solicitor, England & Wales (2013)
Bachelor of Laws (LL.B) (Hons),
University of Hong Kong

MEMBERSHIPS

The Law Society of Hong Kong
Member, Hong Kong Securities and
Investment Institute

CONTACT

PHONE: +852 2861 8440

EMAIL: charles@robertsonshk.com

CHARLES MOK

Partner

OVERVIEW

Charles Mok is a partner in the Private Equity & Commercial Department. He was previously a trainee with the firm. Charles has acted on several high profile mergers and acquisitions and joint ventures in Hong Kong and the PRC as well as a wide range of corporate and commercial transactions.

In addition, he also has an active practice advising on licensing and compliance matters with the Securities and Futures Commission as part of the Licensing & Compliance team of the Regulatory Department, servicing a wide range of clients from boutique firms, funds, and financial institutions. He frequently advises on applications for all types of intermediary licences under the Securities and Futures Ordinance as well as on sales and purchases of licensed corporations (including the consequential change of substantial shareholders applications). He has also represented clients on applications for membership of the Hong Kong Stock and Futures Exchanges.

WORK EXPERIENCE

PRIVATE EQUITY & COMMERCIAL

- Represented listed companies and private businesses in various significant acquisitions and disposals of assets.
- Represented banks and listed companies in project financing.
- Advised and represented catering groups in various acquisitions and disposals of food & beverage businesses and setting up of restaurant and distribution franchises and joint ventures.
- Assisted a member's recreation club in setting up its bespoke terms of membership and various related commercial arrangements.
- Advised and represented media companies in acquisitions and disposals of assets and setting up licensing and distribution arrangements and talent agency arrangements.
- Advised and represented an automobile design house and an automobile manufacturer in intellectual property and design registration and licensing, fund raising and joint ventures, manufacturing and distribution arrangements and other corporate issues.
- Advised and represented private equity funds in setting up joint ventures and other private fund raising activities.

LICENSING & COMPLIANCE

- Advised and represented a stored value facility licensee in the disposal of its business, including dealing with the Hong Kong Monetary Authority.
- Advised and represented various vendors and purchasers in acquiring and disposing corporate holders of financial intermediary licenses, including applying to the Securities and Futures Commission for approval for change of substantial shareholders.
- Advised and represented various applicants in applying to the Securities and Futures Commission for financial intermediary licenses to carry out various regulated activities including Type 1 (dealing in securities), Type 4 (advising on securities), Type 6 (advising on corporate finance) and Type 9 (asset management).
- Advised holders of financial intermediary licenses on various operational issues including licensing and compliance.

FINTECH

- Advised and represented various fintech operators, including issuing legal opinions on whether their services are compliant with local regulatory laws and regulations.