

Licensing & Compliance

OVERVIEW

Robertsons' Licensing and Compliance team provides 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 Department, we have acted on numerous successful applications to approve takeovers of SFC – licensed vehicles. Together with our Corporate Finance and Capital 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.

THE TEAM



Chris Lambert
Managing Partner



Candice Lam
Senior Associate



Min Sung
Associate



Clemence Yung
Associate



Michael Lintern-Smith
Consultant



Jennifer Wong
Consultant

EXPERIENCE

- Acted as lead counsel on two separate Management Buy Outs of regional satellite operators and equipment distributors.
- Advised Stock Exchange participant brokers on both the buy and sell sides of disposals/acquisitions of their regional businesses, including procuring the relevant regulatory consents.

- ◆ Represented a Hong Kong based property fund in negotiations with debt instrument holders and a restructuring to a new fund with a debt/equity swap.
- ◆ Acted as Hong Kong counsel on a billion dollar leveraged buyout of an international pharmaceutical organisation, including relevant security documentation and whitewash procedures.
- ◆ Acting for minority shareholders and minority representation on boards of directors in statutory and common law powers against the board of directors to force production of exercising documents in connection with the misfeasance of controlling shareholders.
- ◆ Advising boards of Hong Kong main board listed corporations on corporate governance issues including the setting up and operation of audit, remuneration and nominations committees, as well as working with management in preparation for shareholders' annual and extraordinary general meetings.
- ◆ Provided due diligence, structuring and financing advice on a private equity acquisition of a regional group providing trading platforms and related products.
- ◆ Representing several fintech businesses on their Hong Kong compliance issues.