

REGULATORY COMPLIANCE, INVESTIGATIONS AND ENFORCEMENT





In today's rapidly evolving global business landscape, navigating regulatory frameworks has become increasingly complex, particularly in a dynamic market like Hong Kong. Our Regulatory Compliance, Investigations, and Enforcement practice provides strategic, proactive, and solution-driven advice to businesses and individuals enabling them to mitigate the significant legal, commercial and reputational risks often associated with compliance, investigations, and enforcement issues.

With Hong Kong serving as a major international financial hub, local and international companies must comply with increasingly rigorous regulations from authorities such as the Securities and Futures Commission (SFC), the Hong Kong Monetary Authority, the Insurance Authority, the Competition Commission,

the Labour Department, the Immigration Department, the Consumer Council, and the Customs and Excise Department. In addition, companies need to be prepared to respond to and assist with enquiries and investigations by the Independent Commission Against Corruption (ICAC), and the Commercial Crime Bureau (CCB).

Our lawyers combine an in-depth understanding of how Hong Kong regulators operate with a strong track record of service. We are recognised and respected by key regulators, and our clients trust us to deliver pragmatic, results-oriented solutions that ensure compliance without compromising business goals.



We serve businesses, financial institutions, individuals from the business community, and public bodies who rely on us to navigate regulatory challenges effectively.

We frequently represent clients in complex investigations led by the SFC and ICAC. Our work includes accompanying clients to compulsory interviews, such as SFC investigations, where individuals are legally required to answer questions. Our team is also regularly engaged to provide immediate legal support during urgent raids conducted by the CCB and SFC, offering on-site legal counsel to company directors and individuals.

AWARDS & RECOGNITIONS

2025

Benchmark Litigation Asia Pacific

White collar crime (Domestic firms) – Other Notable Firms

2024

Benchmark Litigation Asia Pacific

White collar crime – Notable Firm

OUR SERVICES

We advise on the following matters:

- Antitrust and Competition
- Corporate Fraud and Misconduct
- Corporate Governance and Compliance
- Defamation Protection
- Insurance Regulation and Enforcement
- Regulation and Investigations
- Securities Regulation and Enforcement



OUR REGULATORY COMPLIANCE, INVESTIGATIONS AND ENFORCEMENT WORK:

- Successfully secured a release of an agent charged with 36 counts of supplying face masks to the Hong Kong Government Logistics Department to which false trade description had been applied at a sum of HK\$97,748,000 (DCCC 890/2021). [Press coverage.](#)
- Successfully appeal against conviction with Senior Counsel John Reading Esq., Counsel Kelvin Li Esq. and Counsel Gilbert Chong Esq. for a dentist who was charged with one count of fraud on Community Care Fund Elderly Dental Assistance Programme: HCMA 262/2021, [2023] HKCFI 458. [Press coverage.](#)
- Advised various employees of a multi-national company in a large-scale Department of Health investigation pursuant to Prevention and Control of Disease Ordinance (Cap. 599) and its regulations with Senior Counsel Eric Kwok Esq. and Counsel Albert Chan Esq. and secured that a complete discharge after investigation.

TEAM MEMBERS



Victor K.M. Ng

Partner

✉ victor.ng@oln-law.com



Gon J. Yeung

Partner

✉ gon.yeung@oln-law.com



Kristine K.Y. Chan

Senior Associate

✉ kristine.chan@oln-law.com



Nicky S.H. Tse

Consultant

✉ nicky.tse@oln-law.com



ABOUT OLDHAM, LI & NIE (OLN)

OLN is a leading independent Hong Kong law firm, whose commitment to professional excellence has been the cornerstone of the firm since its creation in **1987**. With many years of experience practising in Hong Kong, our diverse global employees, who embody the firm's East-West culture, are able to deliver an integrated suite of legal and business solutions.

No. of lawyers: 40+

No. of staff: 100+

Lawyers admitted to practice in one or more jurisdictions: Hong Kong, the United Kingdom (England and Wales), several US states, Australia, Canada, France, Japan.

Practice Areas:

- Canadian Notarization Services in Hong Kong
- China Practice
- Chinese Notary Services (CAAO)
- Commercial Fraud and Asset Tracing
- Corporate and Commercial Law
- Dispute Resolution
- Elder Law Practice
- Employment and Business Immigration
- Family Law
- Family Office Services
- Financial Service and Regulatory
- French Practice
- Fund Practice
- Insolvency and Restructuring
- Insurance Law
- Intellectual Property Law
- Japanese Practice
- Notary
- Personal Injury
- Private Client
- **Regulatory Compliance, Investigations and Enforcement**
- Startups and Venture Capital
- Tax Advisory

HONG KONG

Suite 503, 5/F, St. George's Building
2 Ice House Street
Central
Hong Kong
Tel: +852 2868 0696
Fax: +852 2810 6796 · 2845 6671

SHANGHAI

Room 1114, 11th Floor
Far East International Plaza
Tower B 317, Xian Xia Road
Changning District
Shanghai, 200051
Tel: +86 21 6278 0612
Fax: +86 21 6278 0613

www.olin-law.com

