



Compliance and Government Enforcement



Choosing Fangda Partners

The Preeminent China-based International Law Firm

Founded in 1993, we are the firm of choice for leading companies and financial institutions in China and around the world on their most significant legal and business challenges. Our 700 lawyers in five offices collaborate seamlessly across practice groups and locations to provide our clients with exceptional service and practical solutions founded on our legal expertise, sound knowledge of market practice, deep understanding of the industry landscape and proven ability to assist our clients achieve their business objectives. We provide seamless services to clients with outstanding lawyers at excellent value.

Our lawyers have many years of experience advising on regulatory compliance, litigation, arbitration, investment, capital markets, mergers and acquisitions, finance, intellectual property, data compliance, cyber security, state secrecy, export controls and sanctions, white-collar crime, environmental law, health and safety, anti-money laundering, and tax issues. We have been consistently recognized as a leading law firm for our section-focused practice groups by Chambers Asia, China Law & Practice, IFLR 1000, Asian Legal Business, PLC Which Lawyer, Dealmakers Monthly, and Asian-mena Counsel.

Local Expertise, International Standards

We attract the very best lawyers in China directly from law schools to join the firm, as well as having a deep bench of top-quality lawyers with wide-ranging experience gained from international law firms, Chinese courts, and government agencies.

We pride ourselves on delivering local expertise with an international perspective. Most of our lawyers have both extensive experience practicing in China as well as an international background. Many of our partners received education in the U.S. or the U.K., and have years of experience working at leading U.S. law firms or “magic circle” firms prior to joining Fangda.

We have been continuously expanding our Compliance and Government Enforcement team by attracting the most able lawyers, including former judges, former prosecutors, former law enforcers, and senior lawyers with deep experience in criminal investigation and prosecution, administrative review and litigation, as well as high-profile former in-house compliance lawyers.

Seamless Services as One Firm

Fangda is one of few PRC firms that truly operates as one firm. We work together as an integrated team to provide clients with services of consistent quality across a broad section of practice groups and geographies.

For our clients' inbound and outbound cross-border matters, we also invest significant time and resources in establishing and developing close and active relationships with leading law firms around the world, allowing us to deliver seamless global service.

More details including biographies of key team members are available on our website: www.fangdalaw.com.

Full-Scale Regulatory Compliance Practice

We routinely represent clients in various industries on a full range of regulatory matters, including anti-bribery, data compliance and cyber security, state secrecy, export controls and sanctions, white-collar crime, environmental law, health and safety, anti-money laundering, antitrust and global regulatory compliance matters, among other issues.

Anti-Bribery and Corruption

Anti-bribery and corruption is one of our deepest areas of expertise. We have extensive experience representing both MNCs and domestic Chinese companies in providing a full range of anti-bribery and anti-corruption services, including establishing compliance policies, advising on and implementing compliance programs, conducting internal investigations, evaluating and resolving business model compliance risk assessments, as well as handling government investigations and other contentious matters. Our clients from several industries benefit from our well-established working relationships with the regulatory authorities in mainland China and Hong Kong at both central and local levels. Some of our lawyers are former regulators, former procurators or former criminal court judges, which enables us to provide unique and insightful advice and assistance. In particular, we have advised many global leaders in a wide range of sectors, including the life sciences, TMT and finance sectors in complex and challenging matters, allowing us to provide unique insight into compliance matters in these fields.

Anti-Money Laundering

We help companies navigate complex anti-money laundering (AML) challenges. Our AML practice provides legal and regulatory advice to all types of financial institutions and non-financial businesses with respect to compliance with anti-money laundering laws. Some lawyers in our team have experience working for the anti-money laundering team of world's leading financial institutions, which makes us ideally positioned to assist our clients with AML challenges they may face. We have represented businesses, including global banks and private equity funds, in criminal and regulatory procedures. We have also helped our clients conduct compliance due diligence for mergers and acquisitions and third-party review in relation to anti-money laundering issues.

Antitrust

Clients come to us for trusted advice on complex and risky antitrust matters. Our team has a market-leading track record of successfully assisting clients on some of the most high-profile merger filings and antitrust investigations in China's antitrust history. Clients benefit from our deep interactions with China's competition authority, on quantity as well as complexity, allowing us to provide insight where guidance might otherwise be lacking.

We currently have a dedicated competition team in China with full-time competition law specialists who work across China, including Beijing, Shanghai and Hong Kong. Members of our team have practiced in many jurisdictions, including Brussels, London, Washington DC and Sydney before joining Fangda.

Data Privacy, Cyber Security and State Secrecy

Fangda is a leading PRC law firm advising clients on data privacy, cyber security, state secrecy and related data compliance. We have extensive experience advising clients on data privacy and cyber security issues in a wide range of sectors, including e-commerce, finance, IT, life sciences and artificial intelligence. Our areas of expertise include helping clients build global and China-specific data protection programs, implementing the program, establishing third party management, conducting data privacy due diligence, and advising clients on challenging data privacy issues arising from business operations. We have also developed our expertise in assisting Chinese companies to establish comprehensive global data protection programs from scratch and managing emerging data protection risks from a global perspective.

We have well established contacts with the relevant Chinese regulatory agencies, including the Cyberspace Administration of China (CAC), the Ministry of Industry and Information Technology (MIIT), the Public Security Bureau (PSB), the Ministry of Finance, the China Securities Regulatory Commission (CSRC), the State Security Bureau and the State Archives Bureau. In the past few years, we have been working closely with the legislative and

enforcement authorities of China, including the CAC and the National Information Security Standards Technical Committee (TC260), to provide valuable legal insights in connection with the drafting of implementation standards for the national Cyber Security Law. We also established the protocol for state secrecy and data privacy review, which was endorsed by government agencies, and was subsequently adopted as an industry standard. That makes us ideally placed to advise international and Chinese companies on data protection and cyber security, covering commercial and personal information.

Export Controls and Sanctions

Export controls and sanctions are increasingly complex and constantly changing. Failure to comply can lead to legal liabilities and pose a threat to businesses. Having close cooperation with leading global firms, our team is one of the few PRC firms that is able to provide practical advice on export controls and sanctions-related matters. We have advised Chinese clients on U.S. sanctions and global and Chinese export control risks, conducting in-depth analyses of business operations and providing integrated and practical solutions and trainings.

Our services range from the defense of criminal and administrative enforcement by the Chinese government and foreign enforcement agencies (such as removing from the UVL and Entity List) in cooperation with foreign law firms to building compliance programs and conducting compliance due diligence. In particular, we have years of experience representing leading companies in general industries such as logistics, automobile, equipment manufacturing and cosmetic sectors.

Environment, Health and Safety (EHS)

Companies operating in China should be aware of the increased enforcement of EHS laws and regulations in the past few years. Violations of EHS laws may lead to the imposition of severe liabilities and restrictions to the company's business. Clients have come to us for legal advice on environment, health and safety issues and assistance in related investigations, or litigation proceedings. Our integrated regulatory and litigation team allows us to provide seamless coverage. We have represented clients in handling criminal investigations for suspected pollution crimes and assisted them in negotiating a remediation plan with the government. We have also helped companies conduct proactive compliance assessments on their health and safety practices and advised them of potential risks.

White-Collar Crime and Corporate Crime

Fangda has a deep bench of experienced white-collar crime lawyers. We are experienced in all stages from the beginning investigation of potential wrongdoing to criminal judicial proceedings and incidental civil proceedings. Our lawyers have handled a variety of complex internal investigations of potential fraud, embezzlement, bribery, and conflict of interest, as well as internal control failures. We are experienced in representing both public companies listed in the U.S., Hong Kong and China, as well as private companies. We have successfully persuaded the PSB to open criminal prosecution of implicated individuals, as well as helped public company to respond to criminal and administrative investigations. We also have extensive experience handling court proceedings, as well as parallel civil and criminal proceedings.

Securities Compliance

We have extensive experience in handling administrative investigations conducted by the CSRC and criminal investigations involving potential securities rule violations, as well as negotiating for settlement with the CSRC. Our areas of expertise include handling all kinds of complex securities enforcement cases involving improper information disclosure, insider trading, market manipulation, and professional liability of third party agents. We are also experienced in handling securities civil lawsuits involving false representations.

Going Global Compliance

While a growing number of Chinese companies have succeeded in expanding overseas, they are also facing an unprecedented and complex global regulatory environment. We have helped Chinese clients identify areas of compliance risk based on their business nature and regulatory risk profile of the country in which they operate. We provide one-stop service for our clients in various fields, such as anti-corruption, antitrust, data protection, export controls/sanctions and anti-money laundering. We are frequently consulted by clients in selecting the right foreign law firms. Teaming up with renowned local lawyers, we are able to provide a full spectrum of services from establishing compliance programs to responding to government enforcement measures. Many of our lawyers have experience working abroad at law firms or multinational companies, which enables us effectively to represent clients in global compliance matters.



One-Stop Compliance Services

Compliance Program and Advisory

The complex and constantly changing regulatory environment is one of the biggest challenges for businesses. We have extensive experience advising clients on regulatory compliance both in China and abroad. We provide comprehensive legal consultation in a wide range of industries. We also devise tailored compliance policy and mechanisms based on clients' needs and assist clients in implementing and monitoring the policies and protocols.

We routinely assist clients implement compliance programs including (but not limited to) compliance policy and monitoring, third party management, crisis management, internal investigations, and third party audits.

Compliance Due Diligence

It is becoming a standard practice for investors to carry out compliance due diligence, through which investors can identify whether a target individual or company, its shareholders, senior executives, employees or agents have been involved in any illegal conduct and can assess potential risks. An appropriate compliance due diligence may effectively mitigate the risk of potential legal liabilities, help investors reach a well-informed decision and provide guidance to post-acquisition compliance controls.

As a full-capability team equipped with risk-based methodology, we have abundant experience in compliance due diligence that focuses on anti-bribery and corruption, data protection, anti-money laundering, and sanctions and export control issues. Our problem-solving approach not only helps investors identify risks, but also provides tailor-made remediation actions and negotiation on deal agreements.

Internal Investigation

Corporate internal investigation is an important tool for risk management and internal control. Companies may come across non-compliant activities in a variety of ways, such as whistleblowing, internal reviews, news reports, government investigations, and so forth. It is important to carry out internal investigations in a legal and effective way, preserve privilege appropriately and to collect evidence with the anticipation of potential subsequent litigation and criminal prosecution.

Assisting clients in conducting internal compliance investigations is one of our core areas of expertise. We often represent companies in investigating non-compliant actions and dealing with matters relating to staff involved in law violations. Our internal investigation services are highly acclaimed in the industry.

Government Enforcement, Criminal and Administrative Proceedings, and Compliance Dispute Resolutions

Multinationals and major Chinese companies are facing more active and sophisticated government enforcement in China. Companies need to respond appropriately to government administrative and criminal enforcement.

We are uniquely positioned to provide insightful services to clients on government enforcement, such as advising clients on how regulators may handle an enforcement or investigation, how to negotiate with regulators, what positions regulators may take on less-than-clear legal issues, and how to respond to a dawn raid or other government enforcement activities. Our team has highly-regarded former member of the Committee of Administrative Reconsiderations, former regulators who have unique insights into administrative enforcement measures, former judges and former prosecutors who have decades of experience.

Recognition

■ “Highly respected team with a deep bench, acting on various corporate investigations and anti-corruption matters. Highlighted for its experience in U.S. Foreign Corrupt Practices Act (FCPA) and Securities and Futures Commission investigations as well as compliance work. Envious client list includes large foreign corporations and domestic entities from a number of sectors, such as TMT, pharmaceutical, manufacturing, financial and automotive, as well as high-profile individuals. Clients benefit from its experience in compliance training and designing compliance programmes and policies. Fields a group of specialists equipped with previous enforcement or prosecution experience to offer government enforcement advice. Regularly handles instructions in relation to criminal investigations and proceedings.”

- *Chambers Asia*

■ “They are very experienced and have good insights into the laws. They can see things from our viewpoint and clarify all of the grey areas for us. They single out the pain points in our operation, identify risks and dig deep for us - it's very, very valuable.”

- *A source for Chambers Asia*

■ Another client describes the outfit as “the most sophisticated firm we use,” adding: “The lawyers have very solid skills and knowledge and are proactive. Their analysis is very thorough and very accurate.”

- *A source for Chambers Asia*

■ The team is praised by clients: “Its advice is very practical. It's not textbook and the advice suits our current situation.”

- *A source for Chambers Asia*

■ Chambers Asia has praised our team's “government enforcement practice with members equipped with previous enforcement or prosecution experience”. “The team has the ability to balance Chinese and foreign laws and it is a very efficient team which is very responsive to clients' requests.”

- *A source for Chambers Asia*

■ “They are very smart, versatile and experienced in working with international companies. Their advice is commercial and very practical.” “I am very impressed by the team, especially in the China pharmaceutical industry. It is a unique area: they really understand the industry and the risks and provide a really high-quality product, with a full picture and very thorough analysis.”

- *A source for Chambers Asia*

■ “Fangda Partners is one of the few PRC firms with a dedicated corporate investigation team, which handles the full range of anti-corruption matters, government enforcements (administrative and criminal), compliance advice, structuring compliance programmes and policies, and related contentious matters.”

- *Legal 500, 2017*

■ “Fast feedback, to the point analysis, clear and realistic solution, not just provide the legal opinion and give the risk evaluation.”

- *A source for Legal 500*



2020

Chambers Asia

- Corporate Investigations/Anti-Corruption (PRC Firm): Band 1
- Technology, Media, Telecoms (TMT) (PRC Firms): Band 1

Legal 500 (Asia-Pacific)

- Regulatory/Compliance (PRC Firm): Tier 1
- TMT (PRC Firm): Tier 1

Asialaw Profile

- Regulatory: Highly Recommended Firm
- Technology and Telecommunications: Outstanding Firm

2018

Chambers Asia

- Corporate Investigations/Anti-Corruption (PRC Firm): Band 1
- Technology, Media, Telecoms (TMT) (PRC Firms): Band 1

Legal 500 (Asia-Pacific)

- Regulatory/Compliance (PRC Firm): Tier 1
- TMT (PRC Firm): Tier 1

China Law and Practice

- China Firm of the Year

2019

Chambers Asia

- Corporate Investigations/Anti-Corruption (PRC Firm): Band 1
- Technology, Media, Telecoms (TMT) (PRC Firms): Band 1

Legal 500 (Asia-Pacific)

- Regulatory/Compliance (PRC Firm): Tier 1
- TMT (PRC Firm): Tier 1

China Law and Practice

- China Firm of the Year
- Regulatory & Compliance Firm of the Year

Asialaw Profile

- Regulatory: Highly Recommended Firm
- Technology and Telecommunications: Outstanding Firm

Benchmark Litigation Asia-Pacific Awards:

Government & Regulatory Firm of the Year

2017

Chambers Asia

- Corporate Investigations/Anti-Corruption (PRC Firm): Band 1
- Technology, Media, Telecoms (TMT) (PRC Firms): Band 1

Legal 500 (Asia-Pacific)

- Regulatory/Compliance (PRC Firm): Tier 1
- TMT (PRC Firm): Tier 1

China Business Law Journal

- Best PRC Law Firm in Anti-bribery and Compliance





Recent Notable Matters

Our team has advised many global leaders in a wide range of sectors, including the life sciences, TMT and finance sectors in complex and challenging matters, including advising, assisting, defending or representing:

Anti-Bribery and Corruption

- A leading U.S. multinational corporation (MNC) in the technology sector in handling a criminal investigation by the Chinese Procuratorate and internal investigations relating to potential violations of the FCPA, Chinese commercial bribery laws and accounting fraud involving third parties. In recognition of the client's thorough investigation and full cooperation, both the Procuratorate and the U.S. Department of Justice (DOJ) declined prosecution.
- A world-leading coating supplier in conducting an internal investigation on potential corruption involving third parties in China, which led to the client's global self-disclosure.
- A well-known energy company in a criminal enforcement case initiated by the Indian Central Bureau of Investigation on suspected bribery of Indian government officials by its Chinese subsidiary, and conducting an internal investigation based on the FCPA and PRC anti-commercial bribery laws.
- A Chinese SOE in response to an investigation initiated by the government of Pakistan, resulting in no penalties for the client.
- A China-based, U.S.-listed company and its subsidiaries in their anti-corruption/FCPA due diligence in connection with their multibillion U.S. dollar investments in a wide range of industries.
- Several private equity firms on their anti-corruption compliance due diligence.
- A Fortune 500 company in an investigation by Shanghai Administration for Industry and Commerce (AIC) concerning commercial bribery, in which we successfully caused the case to be escalated to the state AIC, which then abandoned further investigation.
- A leading MNC in a regulatory investigation by the Shanghai AIC relating to potential violations of Chinese commercial bribery and antitrust laws. We persuaded the regulatory authority not to impose any punishment.
- A Hong Kong-listed company (with its majority shareholder being a U.S.-listed MNC) in an internal investigation into its PRC subsidiary relating to a complex scheme of employee's misconduct; representing the company in regulatory investigations and inquiries by Hong Kong and the U.S. governments; and assisting the company to establish a comprehensive compliance program to mitigate risks identified in the investigations.
- Multiple leading life sciences companies in their internal investigations of potential violations of the FCPA, Chinese anti-commercial bribery laws, channel stuffing, cross-selling, accounting fraud and employment issues, as well as other violation of laws and corporate compliance policies.
- A leading real estate company in an internal investigation of embezzlement by a company executive, and writing report implicating company executive to the PSB, including advising on all complex legal issues. As a result of our work and analysis, the executive returned more than RMB10 million to the company.
- A world-leading elevator manufacturer in its internal investigations, including advising on a criminal case filing, among other issues.
- Several Chinese SOEs with anti-corruption, sanctions, data privacy, environmental and antitrust reviews, and conducting compliance inspections of overseas operations to help companies establish compliance programs in accordance with requirements of the State-owned Assets Supervision and Administration Commission (SASAC).
- A wide range of companies (including those in the consumer product, pharmaceutical, technology, automotive, finance, energy, entertainment, and other sectors) in formulating compliance policies for their business in China, and establishing compliance management systems, including risk management systems, government dawn raid response systems and third-party management systems.

Data Privacy, Cyber Security and State Secrecy

- A well-known China-based company in establishing and improving its global data compliance system, establishing a global data network and operating mechanism (such as data localization and cross-border transfer, among other practices), advising on various data issues relating to products and services in the global markets, assisting it to deal with various global emergencies (such as data leaks, government investigations and inquiries) and conducting data compliance due diligence in various investments, and responding to comprehensive data compliance reviews by business partners, such as Facebook.
- A number of well-known MNCs and Chinese companies (in the AI, big data, automotive and transportation, entertainment, life sciences, e-commerce, consumer product, and manufacturing sectors) in data mapping, gap analysis, and establishing data compliance programs; advising on a series of complex legal issues, such as internal data security management, third-party data cooperation, cross-border data transfer, important data identification, and data localization.
- A number of companies in responding to data breaches and managing crises, including filing data breach reports, communicating with a number of regulatory agencies, notifying personal information subjects and handling complaints from personal information subjects, managing media disclosure and tracking public opinion, assisting the companies in filing criminal cases and taking remedial measures.
- A leading hotel management company in the criminal litigation and an investigation initiated by multiple Chinese law enforcement authorities in connection with alleged Cyber Security Law violation. We successfully persuaded the PSB to withdraw the criminal case and achieved a positive result for the other investigation.
- A fintech company in a criminal investigation conducted by the PSB and assisting the client in improving its compliance program. The investigation was caused by suspected infringement of personal information by one of the client's business partners. The PSB dropped the investigation.
- A China-based media company in a case involving several executives and employees suspected of infringing citizens' personal information; and assisting the client in reviewing its business models and providing regular data consulting services in relation to its data products. The executives and employees all successfully obtained bail.
- A Chinese state-owned airline on data compliance matters, including data-related dispute resolution, extraterritorial application of laws and emergency response.
- A China-based, U.S.-listed company in its data compliance due diligence for a potential investment in a logistics group and its post-merger compliance integration. The due diligence was conducted based on PRC data protection laws and the GDPR.
- A Chinese company on its data compliance due diligence in connection with its IPO in Hong Kong.
- A number of Chinese companies and MNCs to evaluate the risk of cross-border data transfers; advising the best transfer solutions under various scenarios.
- A number of companies in managing dozens of state secrecy review projects in connection with the audit work papers requested by the U.S. Securities and Exchange Commission (SEC) as well as the Securities and Futures Commission of Hong Kong (SFC).
- Big Four accounting firms on state secrecy and data privacy relating to audit work papers and the mechanism of cross-border securities investigations.

Export Controls and Sanctions

- A Chinese high-tech company in its negotiation with the U.S. Department of Commerce (DOC) and dealing with procedures of removal from the Bureau of Industry and Security (BIS) entity list.
- A large port company in assessment and inspection of its sanction risks and assisting in establishing a compliance system.
- An international shipping company on sanctions and export control-related issues for its international shipping and port operations in relation to Iran and North Korea sanctions, and assisting in establishing a sanctions and export control compliance system.
- A well-known Chinese submarine fiber optic cable company on sanctions issues relating to its operations in the Middle East.
- A leading Chinese automobile manufacturing company on its sanction risks related to its business in Venezuela.
- A number of Chinese chip manufacturers on U.S. export control issues, including providing analysis of whether their products, technology or parts were subject to U.S. export control laws.
- A Chinese investment management company on U.S. export control issues for its proposed investment project.
- A Chinese asset management company on whether its joint scientific research project with a university might be subject to U.S. export controls.
- A number of Chinese companies and MNCs on legal issues relating to sanctions and export controls.



White-Collar Crime and Corporate Crime

- A China-based media company in a case involving several executives and employees suspected of infringing citizens' personal information; and assisting the client in reviewing its business models and providing regular data consulting services in relation to its data products. The executives and employees all successfully obtained bail.
- A high-profile investment banker in a criminal investigation of suspected financial fraud initiated by the PSB, involving hundreds of thousands of investors, with approximately RMB100 billion allegedly stolen.
- A leading venture fund in a money-laundering criminal investigation by the PSB. We were able successfully to argue that two partners should be put on probation.
- A leading real estate company in an internal investigation of misconduct involving the company's executive, and reporting the implicated company executive to the PSB. The executive returned more than RMB10 million to the company.
- A leading technology company in criminal proceedings and civil litigation involving data breach and trade secret infringement.
- A president of an internet technology company in Shanghai's first criminal case for the suspected crime of opening a casino.
- A leading FMCG company against a smuggling charge relating to import price under-declaration.
- A subsidiary of a well-known cinema equipment company against an alleged smuggling charge.
- A bitcoin trading platform in its internal investigation of potential data theft, and assisting the client to file a criminal case.
- A pharmaceutical company in response to a PSB investigation of fake fapiao purchases involving more than 40 employees of the company.
- A world-leading elevator manufacturer in its internal investigations, including advising on a criminal case filing, among other issues.
- A leading venture capital fund in responding to criminal charges by the PSB for alleged anti-money laundering violations. The client was sentenced to probation and released.
- A leading U.S. MNC in the technology sector in handling a criminal investigation by the Chinese Procuratorate and internal investigations relating to potential violations of the FCPA, Chinese commercial bribery laws and accounting fraud involving third parties. In recognition of the client's thorough investigation and full cooperation, both the Procuratorate and the DOJ declined prosecution.
- A leading hotel management company in the criminal litigation and an investigation initiated by multiple Chinese law enforcement authorities in connection with alleged Cyber Security Law violation. We successfully persuaded the PSB to withdraw the criminal case and achieved a positive result for the other investigation.

Administrative Law Enforcement and Litigation

- A Fortune 50 company in various investigations by the Market Regulation Administration (MRA), internal investigations, terminating high-risk third party and other post-investigation dispute cases.
- An MNC in an investigation by the National Security Bureau. Neither the client nor the executive was penalized.
- A world-leading coating supplier to settle an investigation by the Tax Bureau and conducting an internal investigation on potential fraud involving third parties in China, resulting in no administrative penalties for the client.
- A leading hotel management company in the criminal litigation and an investigation initiated by multiple Chinese law enforcement authorities in connection with alleged Cyber Security Law violation. We successfully persuaded the PSB to withdraw the criminal case and achieved a positive result for the other investigations.
- A leading U.S.-based MNC in a regulatory investigation by the Shanghai AIC relating to potential violations of Chinese commercial bribery and antitrust laws, which ultimately resulted in no administrative penalties.
- A leading commercial trading company investigated by a local Administration for Market Regulation (AMR) for alleged violation of Chinese advertisement laws.
- A well-known foreign bank in the regulatory and criminal investigations initiated by the CBRC and the PSB for the alleged misconduct of a former employee.
- A number of companies in administrative enforcement by the PSB, AMR and other administrative agencies, which ultimately resulted in no administrative penalties.
- A Fortune 500 company in an investigation by the Shanghai AIC concerning commercial bribery, in which we successfully caused the case to be escalated to the state AIC, which then abandoned further investigation.
- An MNC in a government investigation involving alleged environmental pollution, negotiating soil remediation and land disposal, and representing the client in related litigation.
- Senior management of an investment bank in a joint investigation initiated by the Hong Kong SFC and the DOJ, winning a favorable result for the client.

Securities Compliance

- A well-known fund company in handling administrative and criminal investigations by the PSB and the CSRC on suspected securities violations.
- An international accounting firm in handling the administrative investigation by the CSRC on the professional responsibilities of professional institutions and their personnel.
- An independent director of a listed company in handling the administrative investigation by the CSRC on suspected insider trading.
- A legal representative of a listed company in handling a criminal investigation and prosecution for suspected illegal information disclosure; and providing legal opinions. The prosecutors decided to drop the charges against the client.
- A listed company in handling the administrative investigation by the CSRC on suspected illegal information disclosure.
- A fund company executive in handling the administrative investigation by the CSRC on suspected "rat trading".
- An executive director of a PRC-listed company on an inquiry by the CSRC and the PSB relating to potential insider trading and market manipulation activities.
- A U.S.-listed Chinese multinational conglomerate in a probe initiated by the SEC involving compliance and misrepresentation (in cooperation with a top U.S. law firm).
- The board of directors of a Hong Kong-listed company in proceedings brought against them alleging breach of fiduciary duties, misfeasance and/or misconduct, and related contentious regulatory matters.
- A number of well-known MNC and Chinese companies on the responsibilities and obligations of listed companies and their directors and executives under PRC and Hong Kong laws.

Environmental Protection

- A leading global natural resources company against the charge of smuggling solid waste. We successfully persuaded the prosecutors to drop all the charges against the client and its employees, which is very rare in the Chinese judicial system after the detention and arrest of the individuals.
- A U.S. multinational private equity firm in handling a criminal investigation and criminal proceeding initiated by the PSB for pollution charges against its Chinese subsidiary.
- A multinational company in a government investigation of environmental pollution and negotiating soil remediation and land disposal, and representing the client in related litigation.
- A global leading environmental protection company in an administrative lawsuit against the decision made by an environmental protection bureau in Xinjiang.
- A water resource management MNC in an administrative reconsideration on the decision of an environmental protection bureau to impose an administrative penalty on its air emissions.
- A world-renowned MNC in the chemistry sector on the emission of volatile organic compounds.
- A new energy MNC on the pollution discharge permits and environmental protection responsibilities.
- A world-leading manufacturing company headquartered in the U.S. in handling green land investment in Jiangsu province, as well as soil pollution assessment and remediation related to its production plant in Shanghai.
- A well-known German water resources management company in bidding, investment, construction and financing of sewage treatment projects in China.
- A well-known U.S. sustainable energy company on its portfolio of power generation and energy conversion facilities in China.

Global Compliance

- A Chinese SOE on identifying its global compliance risks and establishing its global compliance system.
- A number of U.S.-listed Chinese companies on updated data protection and anti-corruption trends in multiple jurisdictions worldwide and providing practical advice for the clients' global operations and risk controls.
- A number of Chinese companies in inquiries by the DOJ, the SEC, the DOC, and the U.S. Department of Homeland Security, among others.
- A Chinese company in response to an investigation initiated by the government of Pakistan, resulting in no penalties for the client.
- A well-known China-based company in establishing and improving its global data compliance system, establishing a global data network and operating mechanism (such as data localization and cross-border transfer), advising the client on various data issues relating to its products and services in the global markets, assisting it to deal with various global emergencies (such as data leaks, government investigations, and inquiries) and conducting data compliance due diligence in various investments, and responding to comprehensive data compliance reviews by business partners, such as Facebook.
- A China-based U.S.-listed company in its data compliance due diligence for a potential investment in a logistics group and its post-merger compliance integration. The due diligence was conducted based on PRC data protection laws and the GDPR.
- A leading dairy product manufacturer on its global compliance program, and providing training.
- A leading bus company on sanctions and data privacy issues in the EU, Central and Latin America and Africa, and providing training.
- A China-based healthcare as the company's global counsel, providing advice from multiple legal perspectives for its expansion of medical services in several Asian countries.
- Several Hong Kong-listed Chinese SOEs on anti-corruption, sanctions, outbound investment and product safety issues, and conducting compliance inspection to help the companies establish compliance systems in accordance with requirements of the SASAC.
- A Chinese high-tech company in its negotiation with the U.S. DOC and dealing with procedures of removal from the BIS entity list.
- A well-known Chinese submarine fiber optic cable company on sanctions issues relating to its operations in the Middle East.
- A leading Chinese automobile manufacturing company on its sanction risks related to its business in Venezuela.
- A number of Chinese chip manufacturers on U.S. export control issues, including providing analysis of whether their products, technology or parts are subject to U.S. export control laws.

Key Team Members

Beijing



Kate YIN

Partner

+86 10 5769 5617
kate.yin@fangdalaw.com



Yanhua LIN

Partner

+86 10 5769 5653
yanhua.lin@fangdalaw.com



Yanjun ZHUANG

Partner

+86 10 5769 5649
yanjun.zhuang@fangdalaw.com

Shanghai



Nuo JI

Partner

+86 21 2208 1011
nji@fangdalaw.com



Benjamin MIAO

Partner

+86 21 2208 1151
benjamin.miao@fangdalaw.com



Shanjian ZHENG

Partner

+86 21 2208 1122
shanjian.zheng@fangdalaw.com



Derrick ZHAO

Partner

+86 21 2208 5829
derrick.zhao@fangdalaw.com



Allen FU

Partner

+86 21 2208 1123
allen.fu@fangdalaw.com

／Guangzhou



Alvin XIAO

Partner

+86 20 3225 3801
alvin.xiao@fangdalaw.com

／Shenzhen



Frank LI

Partner

+86 755 8159 3903
fli@fangdalaw.com

／Hong Kong



Peter YUEN

Partner

+852 3749 1177
peter.yuen@fangdalaw.com

Beijing

31/F, North Tower
Beijing Kerry Centre
1 Guanghua Road
Chaoyang District
Beijing 100020, China

Tel: +86 10 5769 5600
Fax: +86 10 5769 5788

Guangzhou

17/F, International Finance
Place, 8 Huaxia Road,
Zhujiang New Town
Guangzhou 510623, China

Tel: +86 20 3225 3888
Fax: +86 20 3225 3899

Hong Kong

26/F, One Exchange Square
8 Connaught Place, Central
Hong Kong

Tel: +852 3976 8888
Fax: +852 2110 4285

Shanghai

24/F, HKRI Centre Two,
HKRI Taikoo Hui
288 Shi Men Yi Road
Shanghai 200041, China

Tel: +86 21 2208 1166
Fax: +86 21 5298 5599

Shenzhen

17/F, Tower One, Kerry Plaza
1 Zhong Xin Si Road
Futian District
Shenzhen 518048, China

Tel: +86 755 8159 3999
Fax: +86 755 8159 3900