



Xiaoming Deng

Beijing

+86 10 8524 5860
xm.deng@hankunlaw.com

PRACTICE AREAS

- Dispute resolution

PROFESSIONAL EXPERIENCE

Mr. Deng previously worked in the Legal and Compliance Department of China Galaxy Securities Co., Ltd., where he was responsible for the compliance management of the brokerage and asset management business and handled the company's major litigation cases. He has extensive practical experience with respect to the compliance and dispute resolution work of financial institutions.

In his practice, Mr. Deng has dealt with a number of major commercial disputes and represented cases in courts at all levels, including the Supreme People's Court, provincial high courts, and the Shanghai Financial Court. He has acted as an agent in many statutory liability disputes involving financial institutions, such as those arising from financial consumer suitability obligations, trustee fiduciary liability, and securities misrepresentation. He has represented dozens of domestic financial institutions in litigation cases, handling cases with a total amount of over RMB 9 billion.

Mr. Deng often provides professional trainings for commercial banks and securities companies and has served as a training lecturer for mediators at the Securities Association of China.

Mr. Deng has systematically studied the statutory liability of financial institutions. He was the major author of the China Securities Association's research projects such as "Research on the Civil Liability and Risk Prevention of False Statements of Underwriters under Bond Default Scenarios" and "Research on the Civil Liability of Issuers and Intermediaries Under the IPO Registration System", which won the Securities Association of China's outstanding award in 2019 and 2020. At present, Mr. Deng is co-writing with his team a research project on major events in 2020 for the Supreme People's Court, "Research on Legal Issues in the Trial of Business Trust Disputes".

EDUCATION

Mr. Deng received a Bachelor of Law degree in 2008 and Master of Civil and Commercial Law degree in 2010 from Renmin University of China. In 2016, he obtained a J.D. degree from the University of Hong Kong and an LL.M. degree from the University of Pennsylvania.

QUALIFICATIONS

Member of the PRC Bar

Member of the New York State Bar

PUBLICATIONS

"Study on Civil Liability and Risk Prevention of Underwriters' False Statement under Bond Default Scenes", China Securities (No. 4, 2020), Sponsor: Securities Association of China

"Study on the Civil Liability of False Statement by Issuer and Intermediaries under IPO Registration System", Securities Market Herald (No. 4, 2021), Sponsor: Shenzhen Stock Exchange

WORKING LANGUAGES

Chinese, English



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业务领域

- 争议解决

工作经历

邓晓明律师曾任职于中国银河证券股份有限公司法律合规部，负责证券经纪及资产管理业务的合规管理工作，并处理银河证券在此期间的主要诉讼纠纷，对金融机构合规管理及涉金融机构争议解决具有丰富的实践经验。

作为执业律师，邓晓明主办多项重大商事纠纷，在最高人民法院、各省高院、上海金融法院等各级法院代理案件，是多起金融消费者适当性义务、资管业务受托人责任、证券虚假陈述等金融机构法定（侵权）责任纠纷的代理人。他曾为数十家国内金融机构代理诉讼，办理案件累计标的金额逾人民币 90 亿元。

邓晓明律师多次为商业银行及证券公司提供专业培训，并曾担任中国证券业协会调解员培训讲师。

邓晓明律师对金融机构法定责任问题有系统研究，其主笔负责的《债券违约情景下承销商虚假陈述民事责任及风险防范研究》与《IPO 注册制下发行人与中介机构虚假陈述民事责任研究》分别获评中国证券业协会 2019、2020 年优秀重大课题。目前，邓晓明律师正在与团队共同撰写最高人民法院 2020 年重大课题《营业信托纠纷案件审理中的法律问题研究》。

教育背景

邓晓明律师于 2008 年及 2010 年毕业于中国人民大学法学院，获法学学士及民商法硕士学位；于 2016 年取得香港大学 J.D. 及美国宾夕法尼亚大学 LL.M. 学位。

执业资格

中华人民共和国律师执业资格
美国纽约州律师执业资格

最近出版物

“债券违约情景下承销商虚假陈述民事责任及风险防范研究”，《中国证券》（2020 年第 4 期），主办单位：中国证券业协会
“IPO 注册制下发行人与中介机构虚假陈述民事责任研究”：《证券市场导报》（2021 年第 4 期），主办单位：深圳证券交易所

工作语言

中文、英文