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Profile

Attorney Liu Tao graduated from Southwest University of Political Science and Law with a Bachelor's and Master's degree in Law. He has nearly 20 years of legal experience, having worked in the Securities Crime Investigation Bureau of the Ministry of Public Security and the Hong Kong-listed subsidiary of the China Development Bank. He currently focuses on criminal prosecution and defense in the economic field (especially the securities field), preventive compliance and criminal compliance, administrative penalties and defense against violations in the securities field, major civil and commercial litigation of listed companies, and corporate governance. He has accumulated rich practical experience and always adheres to the service philosophy of "We are not just handling cases, but also the lives of our clients." He has achieved good results for clients, such as exemption from punishment, reduced penalties, and recovery of economic losses, and has won the trust and high praise of clients.

The cases handled by Attorney Liu Tao cover areas such as securities false statements (information disclosure violations), insider trading, trading based on non-public information, market manipulation, fraudulent issuance, contract fraud, and illegal fundraising. His main clients include listed companies (or their actual controllers and directors, supervisors, and senior management), funds, securities firms, accounting firms, and other financial service institutions, as well as large investors in the capital market.

Education Background

Bachelor of Law, Southwest University of Political Science and Law

Master of Litigation Law, Southwest University of Political Science and Law

Areas of Expertise

Criminal prosecution and defense of economic crimes

Administrative penalties and defense against violations in the securities field

Preventive compliance and criminal compliance

Major civil and commercial litigation of listed companies

Corporate governance

Membership

Invited Researcher (Economic Crime Governance), Shenzhen Bay Area Comparative Legal Research Center
Guest Lecturer, Peking University
Financial Law Practice Forum

Honors & Awards

"Best Lecturer" by Shenzhen Investor Service Center

Working Language

Chinese

Service Performance

- Provided criminal defense for a partner of a securities service institution suspected of the crime of illegal disclosure and non-disclosure.
- Provided criminal defense for the actual controller of a proposed listed company suspected of the crime of bribery by non-state functionaries.
- Provided criminal defense for the actual controller of a listed company suspected of the crime of illegal disclosure and non-disclosure of important information (resulted in a suspended sentence).
- Provided criminal defense for a case of dangerous driving (resulted in no prosecution).
- As a member of the third-party monitor expert team, participated in the compliance non-prosecution project of two companies in Shenzhen suspected of the crime of smuggling waste, achieving good rectification results (resulted in no prosecution).
- As a member of the third-party monitor expert team, participated in the compliance non-prosecution project of a company suspected of illegal fundraising of 2.99 billion yuan, achieving good rectification results (resulted in no prosecution).
- Provided criminal defense for a Hong Kong company suspected of the crime of illegal business operations through underground money exchange (resulted in a reduced penalty).
- Provided criminal defense for the village committee secretary suspected of the crime of bribery by non-state functionaries (resulted in a reduced penalty).
- Provided criminal defense for a natural person suspected of the crime of running a casino (resulted in a reduced penalty).
- Provided criminal accusation legal services for a natural person who was defrauded in investment (resulted in a case filing and the arrest of suspects).
- Provided criminal accusation legal services for a natural person whose child was defrauded in studying abroad (resulted in the recovery of all economic losses).
- Provided criminal accusation legal services for a subject accusing a natural person of the crime of manipulating the securities market.
- Provided criminal defense for the actual controller of a listed company suspected of the crimes of manipulating the securities market and insider trading.
- As a compliance consultant, handled the compliance non-prosecution project of a listed company suspected of financial fraud in the field of securities administrative compliance and dispute resolution.
- Provided defense legal services for a case where a senior executive of a listed company was suspected of administrative penalties for information disclosure violations (resulted in no penalty).
- Provided legal services for a case where a senior executive of a listed company was suspected of administrative penalties for information disclosure violations (resulted in no penalty).
- Provided defense legal services for a case where the actual controller of a listed company was suspected of

administrative penalties for insider trading (resulted in no case filing).

- Provided defense services for a case where a senior executive of a listed company was suspected of administrative penalties for information disclosure violations (resulted in a reduced penalty).
- Provided civil litigation legal services for a case involving a proposed listed company in Beijing that was falsely accused of making false statements (suspected of cooperating with the listed company in financial fraud) (resulted in no liability for compensation).
- Provided civil litigation legal services for a case involving a senior executive and a listed company in a dispute over damage to the company's interests (the court dismissed all claims of the opposing party and supported our counterclaim).
- Provided defense and review legal services for a case where a senior executive of a securities company was suspected of administrative penalties for illegal stock trading.
- Provided defense services for a case where a fund and its senior executives were suspected of administrative penalties for manipulating the securities market.

Publications

- "Practical Guidance on Information-Led Investigation"
- "Recognition and Defense Strategies for the Crime of Manipulating Securities and Futures Markets"
- "Recognition of the Subjective Elements of Securities Insider Trading Crimes"
- "Standards for the Recognition of Insider Information and Sensitive Periods"
- "Calculation and Recognition of Losses in Securities False Statement Civil Compensation"
- "Responsibility and Liability Boundaries of Intermediaries in Securities False Statements"
- "Research on Short-Selling Transactions and Risk Prevention"
- "Research on Market Value Management and Risk Prevention"
- "Defense Strategies and Judicial Practice of Duty Crimes"
- "Necessity and Pathways for Courts to Participate in Corporate Compliance"
- "Defense Strategies for Illegal Foreign Exchange Trading Crimes"
- "Research on Conditional Non-Prosecution System and Practice of Corporate Criminal Compliance"
- "Remedies for Victims When Third Parties Acquire Illicit Proceeds"