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SFC Successfully Prosecutes Hong Kong Characteristic Medicine (International Group) Company for Contravening the Protection of Investors Ordinance

10 Sep 2002

The Securities and Futures Commission announces today that it has successfully prosecuted Hong Kong Characteristic Medicine (International Group) Co. (HKCMC) for contravening the Protection of Investors Ordinance (PIO).

HKCMC issued an advertisement in local newspapers inviting the public to enter into an agreement to subscribe for shares of a company in PRC. The advertisement, which had not been authorized by the SFC, was published in two local newspapers on 21 September 2001.

HKCMC pleaded guilty in relation to two summonses before Ms Polly Lo at Western Magistracy today. HKCMC was fined \$30,000 and ordered to pay costs of \$8,980 to the SFC.

An SFC spokesman said this was the 3rd such case prosecuted within the last 3 months; and he warned that unless authorized by the SFC, it is an offence under the PIO to issue advertisements inviting the public to subscribe for securities. Such unauthorized advertisements could lead to the public entering into the purchase of shares that do not accord with the relevant investor protection measures.

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證監會成功檢控香港特色藥業(國際集團)公司違反《保障投資者條例》

2002年9月10日

證券及期貨事務監察委員會今天公布，本會已成功檢控香港特色藥業(國際集團)公司(特色藥業)違反《保障投資者條例》。

特色藥業曾經在本港報章刊登廣告，邀請公眾人士訂立認購一家內地公司股份的協議。該份未經證監會核准的廣告在2001年9月21日在兩份本地報章刊載。

特色藥業今天在西區裁判法院向裁判官盧恆福承認兩項控罪，被合共判處罰款30,000元及須向證監會支付8,980元調查費用。

證監會發言人表示，這是過去3個月以來第3宗受到檢控的同類個案。該發言人提出警告，除非獲得證監會的核准，否則刊登邀請公眾人士認購證券的廣告是違反《保障投資者條例》的罪行。該類未經核准的廣告會導致公眾人士購入並不符合有關保障投資者權益的措施的股份。

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