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SFC Prosecutes Chu Yat Lam for Contravening Part XV of the Securities and Futures Ordinance

6 Oct 2005

The SFC has successfully prosecuted Mr Chu Yat Lam under Part XV of the Securities and Futures Ordinance. Chu was a substantial shareholder of China Northern Enterprises Investment Fund Limited at the material time.

Chu today pleaded guilty to 13 summonses related to his failure to notify the Stock Exchange of Hong Kong regarding 13 acquisitions and disposals of China Northern shares during the period between 16 April 2004 and 1 March 2005, which caused him to have or cease to have a notifiable interest in China Northern.

Mr Leung Wing Chung Winston, a Magistrate at Eastern Magistracy, fined Chu \$13,000, and ordered him to pay investigation costs of \$2,265 to the SFC.

Ends

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證監會檢控朱逸林 指其違反《證券及期貨條例》第XV部

2005年10月6日

證監會成功檢控朱逸林(男)，指他違反《證券及期貨條例》第XV部。在關鍵時間，朱是中國北方企業投資基金有限公司的大股東。

朱今天承認13項控罪，有關控罪指他沒有就於2004年4月16日至2005年3月1日期間內13次取得及處置中國北方股份，因而導致他擁有或不再擁有中國北方股份的須具報權益的事宜，向香港聯合交易所作出具報。

東區裁判法院梁榮宗裁判官判處朱罰款13,000元及命令他須向證監會繳付調查費2,265元。

完

最後更新日期：2012年8月1日