

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [Enforcement news](#)

SFC Prosecutes Chu Wai Ling for Contravening the Securities (Disclosure of Interests) Ordinance

11 Sep 2001

The Securities and Futures Commission (SFC) announced today that it had successfully prosecuted Ms Chu Wai Ling (Chu), a substantial shareholder of Gay Giano International Group Limited (Gay Giano), under the Securities (Disclosure of Interests) Ordinance (SDIO).

Chu pleaded guilty in relation to a total of 4 summonses regarding her failure to report to both the Hong Kong Exchanges and Clearing Limited (HKEx) and Gay Giano her acquisitions of 20,000,000 Gay Giano shares on or about 11 April 2000 and disposals of 14,436,000 Gay Giano shares on 21 August 2000.

Ms Polly Lo, a Magistrate at Western Magistracy, took into account that Chu was not a sophisticated investor and fined Chu a total of \$14,000 and ordered her to pay costs of \$12,112 to the SFC.

A Commission spokesman said that substantial shareholders and directors of listed companies are reminded of their obligations to disclose their dealing in such listed securities within five days to both the HKEx and the listed company. This is essential in order to preserve a fair and well-informed market in which investors have full confidence.

Page last updated : 1 Aug 2012

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

證監會檢控朱惠玲違反《證券(披露權益)條例》

2001年9月11日

證券及期貨事務監察委員會(證監會)今天公布,本會成功地根據《證券(披露權益)條例》檢控 Gay Giano International Limited (Gay Giano) 的大股東朱惠玲(朱氏)。

朱氏承認合共4項控罪。有關控罪指朱氏未有就其在或大約在2000年4月11日購入20,000,000股 Gay Giano 股份,及在2000年8月21日出售14,436,000股 Gay Giano 股份的兩宗交易,向香港交易及結算所有限公司(港交所)及 Gay Giano 作出具報。

西區裁判法院裁判官盧恒福考慮到朱氏並非一名資深投資者,因此判處朱氏罰款合共14,000元,及命令朱氏須向證監會繳付調查費用12,112元。

證監會發言人提醒上市公司的大股東及董事,必須在就有關的上市證券進行交易後的5天期間內,向港交所及有關的上市公司作出具報,而此舉對於維持公平的市場,確保投資者掌握所需的資訊,以及使其對市場抱有充分信心來說,是非常重要的。

最後更新日期:2012年8月1日