

16 October 2001

SFC Prosecutes Lee, Sam Yuen John and D.H. International Limited for Contravening the Securities (Disclosure of Interests) Ordinance

The Securities and Futures Commission (SFC) announced today that it had successfully prosecuted Mr Lee, Sam Yuen John (John Lee), the managing director of Dah Hwa International (Holdings) Limited (Dah Hwa), and D.H. International Limited, the major substantial shareholder of Dah Hwa, under the Securities (Disclosure of Interests) Ordinance (SDIO).

John Lee pleaded guilty to 6 representative summonses regarding his failure to report to the Hong Kong Exchanges and Clearing Limited (HKEx) the disposals of 50 million shares and acquisitions of 46.232 million Dah Hwa shares during a two-year period between June 1998 and May 2000.

D.H. International Limited also pleaded guilty to 6 representative summonses regarding its failure to report the changes in its notifiable interest to the HKEx during the same period. These changes relate to the disposals of 50 million shares and acquisitions of 35.432 million shares of Dah Hwa shares.

Ms Polly Lo, a Magistrate at Western Magistracy, fined both John Lee and D.H. International Limited \$30,000 each and ordered them to pay costs totalling \$46,228 to the SFC.

A Commission spokesman said that directors and substantial shareholders 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.

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證監會檢控李三元及 D.H. International Limited 違反 《證券（披露權益）條例》

2001年10月16日

證券及期貨事務監察委員會（證監會）今天公布，本會已根據《證券（披露權益）條例》，成功檢控大華國際(集團)有限公司(大華國際)的董事總經理李三元（李氏）及大華國際的大股東 D.H. International Limited。

李氏承認六項代表性控罪。有關控罪指李氏未有就 1998 年 6 月至 2000 年 5 月的兩年期間內出售 50,000,000 股股份和購入 46,232,000 股大華國際股份，向香港交易及結算所有限公司（港交所）作出具報。

D.H. International Limited 亦承認六項代表性控罪。有關控罪指該公司未有就同一期間內其須予具報的權益的變更，向港交所作出具報。這些權益變更涉及出售 50,000,000 股股份和購入 35,432,000 股大華國際股份。

西區裁判法院裁判官盧恒福分別判處李氏和 D.H. International Limited 罰款 30,000 元，並下令有關人士及公司須向證監會繳付合共 46,228 元的調查費用。

證監會發言人提醒上市公司的董事和大股東，必須在進行有關的上市證券交易後的 5 天內，向港交所和有關上市公司及時作出披露。這對於維持公平運作及信息靈通的證券市場，以及確保投資者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