

28 November 2001

**SFC Prosecutes Zhong Shan and Tse Yu Pui  
for Contravening the Securities (Disclosure of Interest) Ordinance**

The Securities and Futures Commission (SFC) announced today that it had successfully prosecuted Mr Zhong Shan (Zhong) and Mr Tse Yu Pui (Tse), both were substantial shareholders of Shanghai Fudan Microelectronics Company Limited (Shanghai Fudan), under the Securities (Disclosure of Interests) Ordinance.

Zhong pleaded guilty to six summonses relating to his failure to report changes in his notifiable interest to the Hong Kong Exchanges and Clearing Limited (HKEx). These changes related to the acquisitions of 20,392,000 shares and disposals of 7,024,000 shares of Shanghai Fudan shares during the period from 4 August 2000 to 1 November 2000.

Tse also pleaded guilty to seven summonses relating to his failure to report the changes in his notifiable interest to HKEx during the period from 7 to 21 August 2000. These changes related to the acquisitions of 18,600,000 shares and disposals of 6,400,000 shares of Shanghai Fudan shares.

Ms Polly Lo, a Magistrate at Western Magistracy, fined Zhong and Tse \$24,000 and \$35,000 respectively and ordered them to pay costs totalling \$27,091 to the SFC.

A Commission spokesman said that substantial shareholders and directors of listed companies are reminded of their obligations to disclose their dealings 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: 28 November 2001*

## 證監會檢控鍾山及謝汝培違反《證券（披露權益）條例》

2001年11月28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》，成功檢控鍾山（鍾氏）及謝汝培（謝氏）。鍾氏及謝氏同是上海復旦微電子股份有限公司（上海復旦）的大股東。

鍾氏承認六項控罪。有關控罪指鍾氏未有就其須具報權益的變更向香港交易及結算所有有限公司（港交所）作出申報。這些權益變更涉及鍾氏在2000年8月4日至2000年11月1日期間，買入20,392,000股上海復旦股份及出售7,024,000股上海復旦股份。

謝氏亦承認七項控罪。有關控罪指謝氏未有向港交所申報其須具報權益在2000年8月7日至21日期間的變更。這些權益變更涉及謝氏買入18,600,000股上海復旦股份及出售6,400,000股上海復旦股份。

西區裁判法院裁判官盧恒福分別判處鍾氏和謝氏罰款24,000元及35,000元，並下令二人須向證監會繳付合共27,091元的調查費用。

證監會發言人提醒上市公司的大股東和董事，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