

## Enforcement Actions

---

*To save a copy for future reference, right click [here](#) and select "Save Target As..."*

30 September 2004

SFC Prosecutes Lee Shi Tat Caric for Contravening Part XV of the Securities and Futures Ordinance  
The SFC has successfully prosecuted Mr Lee Shi Tat Caric under Part XV of the Securities and Futures Ordinance (SFO).

Lee today pleaded guilty to two summonses in relation to his failure to make initial disclosures to both Hong Kong Exchanges and Clearing Limited (HKEx) and First Asia Capital Investment Limited of his 5.79% interest in First Asia on commencement of the SFO on 1 April 2003. Lee did not notify First Asia and HKEx until 18 July 2003 and 24 July 2003 respectively.

Mr Johnny Chan, a Magistrate at Eastern Magistracy, fined Lee \$3,000 and ordered him to pay investigation costs of \$8,112 to the SFC.

Ends

*Page Last Updated: 30 September 2004*