

Enforcement Actions

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30 June 2005

SFC Prosecutes Lin Ko Ming for Contravening Part XV of the Securities and Futures Ordinance

The SFC has successfully prosecuted Mr Lin Ko Ming under Part XV of the Securities and Futures Ordinance.

Lin today pleaded guilty to two summonses in relation to his failure to make timely disclosures to both Hong Kong Exchanges and Clearing Limited (HKEx) and Shaanxi Northwest New Technology Industry Company Limited of his 5.22% interest in Shaanxi Northwest when he used a nominee to subscribe the shares during the placement. The stock was listed on 3 July 2003 and Lin did not notify HKEx and Shaanxi Northwest until 3 November 2004.

Mr Anthony Yuen, a Magistrate at Eastern Magistracy, fined Lin \$10,000 and ordered him to pay investigation costs of \$782 to the SFC.

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