

## SFC Prosecutes Xu Li for Not Attending SFC Investigation Interviews

8 Sep 2004

The SFC has successfully prosecuted Ms Xu Li for failing to comply with notices issued by SFC's investigators requiring attendance at interviews.

Four notices under Section 33(4) of the Securities and Futures Commission Ordinance were issued to Xu requiring her to attend interviews with investigators in connection with two investigations into market manipulation and short selling respectively. However, Xu without reasonable excuse failed to attend the interviews.

Xu pleaded guilty to four summonses today before Magistrate Mr Ian Candy at Eastern Magistracy. Xu was fined a total of \$40,000 and ordered to pay investigation costs of \$3,000 to the SFC.

Ends

## 證監會檢控徐勵指其未有出席證監會的調查會見

2004年9月8日

證監會成功檢控徐勵（女），指其未有遵從證監會調查員發出的要求她出席會見的通知。

徐氏曾獲發出4份根據《證券及期貨事務監察委員會條例》第33(4)條而發出的通知，要求她就2宗分別有關市場操縱行為及賣空的調查，出席調查員的會見。然而，徐氏在無合理辯解下未有出席有關會見。

徐氏今日在東區裁判法院簡達仁裁判官席前承認4項控罪。徐氏被判處罰款共40,000元及命令須向證監會支付3,000元調查費。

完

最後更新日期：2012年8月1日