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## SFC Prosecutes Chan Lai Keung for Contravening Part XV of the Securities and Futures Ordinance

3 Nov 2005

The SFC has successfully prosecuted Mr Chan Lai Keung under Part XV of the Securities and Futures Ordinance. Chan was a substantial shareholder of China Northern Enterprises Investment Fund Limited at the material time.

Chan today pleaded guilty to 10 summonses relating to his failure to notify the Stock Exchange of Hong Kong and China Northern regarding five acquisitions and disposals of China Northern shares during the period between 26 November 2004 and 9 December 2004, which caused him to have or cease to have a notifiable interest in China Northern.

Mr Ian Candy, a Magistrate at Eastern Magistracy, fined Chan \$20,000, and ordered him to pay investigation costs of \$3,000 to the SFC.

Ends

Page last updated : 1 Aug 2012

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## 證監會檢控陳乃強 指其違反《證券及期貨條例》第XV部

2005年11月3日

證監會成功檢控陳乃強(男)，指他違反《證券及期貨條例》第XV部。在關鍵時間，陳是中國北方企業投資基金有限公司的大股東。

陳今天承認10項控罪，有關控罪指他沒有就其於2004年11月26日至2004年12月9日期間內五次取得及處置中國北方股份，因而導致他擁有或不再擁有中國北方股份的須具報權益的事宜，向香港聯合交易所及中國北方作出具報。

東區裁判法院簡達仁裁判官(Mr Ian Candy)判處陳罰款20,000元及命令他須向證監會繳付調查費3,000元。

完

最後更新日期：2012年8月1日