

HEINBRO GROUP

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SFC Circular - SFC commences MMT proceedings against former bank employee over alleged insider dealing

The Securities and Futures Commission (SFC) has commenced proceedings in the Market Misconduct Tribunal (MMT) against Mr Wu Kam Shing, a former executive deputy general manager of China CITIC Bank International Limited (CITIC Bank), for alleged insider dealing in the shares of Bloomage BioTechnology Corporation Limited (Bloomage).

At the material time, Wu worked with a team of staff in respect of a loan transaction to finance Grand Full Development Limited's offer to privatise Bloomage.

The SFC alleged that while Wu was in possession of inside information about the privatisation, he purchased a total of 10,000 and 1,265,000 Bloomage shares via the securities accounts of himself and his spouse respectively between 22 May and 15 June 2017. After Bloomage's announcement of the privatisation on 19 June 2017, Wu sold 10,000 and 1,007,500 shares of Bloomage in the accounts of himself and his spouse respectively and earned a profit of about \$3 million.

HEINBRO
GROUP

Level 18A, Heng Shan
Centre, 145 Queen's Road
East, Wan Chai, Hong
Kong |
heinbroconsulting.com |
heinbro@heinbro.com |
+852 2811 1708

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中文版本

證監會就前銀行僱員涉嫌進行內幕交易在審裁處展開研訊程序

證券及期貨事務監察委員會（證監會）在市場失當行為審裁處（審裁處）對中信銀行（國際）有限公司（中信銀行）前執行副總經理胡錦誠（男）展開研訊程序，原因是他涉嫌就華熙生物科技股份有限公司（華熙）的股份進行內幕交易。

在關鍵時間，胡與一組同事合作進行一項貸款交易，以便向創隆發展有限公司提供資金，讓其能作出將華熙私有化的要約。

證監會指稱，胡在掌握私有化內幕消息的情況下，在2017年5月22日至6月15日期間，分別透過自己及其配偶名下的證券帳戶買入合共10,000股及1,265,000股華熙股份。待華熙於2017年6月19日就私有化一事發出公告後，胡便分別賣出自己及其配偶名下帳戶內的10,000股及1,007,500股華熙股份，獲利約300萬元。

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