

Table 1:

Complaints or Reports Related to Alleged Sponsors Failures
Received by the SFC from January 2014 to May 2019

<u>Calendar Year</u>	<u>Number of Complaints / Reports Received</u>
2014	19
2015	25
2016	20
2017	20
2018	14
2019 (up to May)	15
<u>Total</u>	<u>113</u>

Table 2:

**Details of SFC's Disciplinary Actions Against Sponsors and/or
Sponsor Principals Failures from January 2014 to May 2019**

<u>Serial No.</u>	<u>Sponsors and/or Sponsor Principals Involved</u>	<u>Disciplinary Action</u>	<u>Listed Companies / Listing Applicants Involved</u>	<u>Date</u>
1	Sun Hung Kai International Limited	Public reprimand, \$12 million of fine and one-year suspension of licence	Sino-Life Group Limited	27 Jan 2014
2	Eric Shum Kam Chi	Three-year suspension of licence		16 Sep 2014
3	Quam Capital Limited	\$0.8 million of fine	Gayety Holdings Limited	1 Aug 2016
4	BOCOM International (Asia) Limited	Public reprimand and \$15 million of fine	China Huinong Capital Group Company Limited	15 Mar 2017
5	Citigroup Global Markets Asia Limited	Public reprimand and \$57 million of fine	Real Gold Mining Limited	17 May 2018
6	CCB International Capital Limited	Public reprimand and \$24 million of fine	Fujian Dongya Aquatic Products Co., Limited	9 Jul 2018

7	UBS AG and UBS Securities Hong Kong Limited	Public reprimand, \$375 million of fine and one-year suspension of licence ¹	Tianhe Chemicals Group Limited	14 Mar 2019
8	Morgan Stanley Asia Limited	Public reprimand and \$224 million of fine		
9	Merrill Lynch Far East Limited	Public reprimand and \$128 million of fine		
10	UBS AG and UBS Securities Hong Kong Limited	Public reprimand, \$375 million of fine and one-year suspension of licence ¹	China Forestry Holdings Company Limited	14 Mar 2019
11	Standard Chartered Securities (Hong Kong) Limited	Public reprimand and \$59.7 million of fine		
12	Cen Tian	Two-year suspension of licence		
13	Joseph Hsu Kar Hing	Three-year ban from re-entering the industry		17 Jul 2018

¹ The disciplinary actions against UBS AG and UBS Securities Hong Kong Limited are the aggregate of three cases (i.e. Serial No. 7, 10 and 14).

14	UBS AG and UBS Securities Hong Kong Limited	Public reprimand, \$375 million of fine and one-year suspension of licence ¹	China Metal Recycling (Holdings) Limited	27 May 2019
15	China Merchants Securities (HK) Co., Limited	Public reprimand and \$27 million of fine		27 May 2019
16	Wu Yinong	18-month suspension of licence		27 Feb 2019