

IN THE MATTER OF THE LISTED SECURITIES OF
BLOOMAGE BIOTECHNOLOGY CORPORATION LIMITED
(EX-STOCK CODE: 963)

30 JUL 2024



MARKET MISCONDUCT TRIBUNAL PROCEEDINGS
PURSUANT TO SECTION 252(2) OF AND SCHEDULE 9 TO THE
SECURITIES AND FUTURES ORDINANCE, CAP. 571

IN THE MATTER OF the Market Misconduct
Tribunal Proceedings under section 252(2) and the
Orders made by the Market Misconduct Tribunal on
29 July 2024 under section 257 of the Securities and
Futures Ordinance, Cap. 571

AND

IN THE MATTER OF section 264 of the Securities
and Futures Ordinance, Cap. 571

BEFORE MR. MICHAEL HARTMANN, GBS

CHAIRMAN OF THE MARKET MISCONDUCT TRIBUNAL

ORDER

WHEREAS by a written notice dated 31 March 2023 issued by the Securities and
Futures Commission (the “SFC”) instituting proceedings under section 252(2) of the
Securities and Futures Ordinance (the “Ordinance”) requiring the Market Misconduct
Tribunal (the “Tribunal”) to conduct proceedings and determine:-

- (a) whether any market misconduct in the nature of insider dealing or otherwise has
taken place;

- (b) the identity of any person who has engaged in the market misconduct found to have been perpetrated; and
- (c) the amount of any profit gained or loss avoided as a result of the market misconduct found to have been perpetrated.

AND WHEREAS the SFC has specified the following person in the Notice:-

- (i) Wu Kam Shing (胡錦誠) (the “**Specified Person**”)

AND UPON reading the Statement of Agreed and Admitted Facts dated 28 August 2023 signed by the SFC and the Specified Person, and the Orders Jointly Proposed by the SFC and the Specified Person dated 21 September 2023

THE TRIBUNAL ORDERED that:-

1. Pursuant to section 257(1)(a) of the Ordinance, for a period of 36 months, the Specified Person shall not, without the leave of the Court of First Instance:
 - (a) be or continue to be a director, liquidator, or receiver or manager of the property or business, of any listed or unlisted corporation in Hong Kong; or
 - (b) in any way, whether directly or indirectly, be concerned or take part in the management of any listed or unlisted corporation in Hong Kong.
2. Pursuant to section 257(1)(b) of the Ordinance, the Specified Person shall not, without the leave of the Court of First Instance, in Hong Kong, directly or indirectly, in any way acquire, dispose of or otherwise deal in any securities, futures contract or leverage foreign exchange contract, or an interest in any securities, futures

contract, leveraged foreign exchange contract or collective investment scheme for a period of 36 months.

3. Pursuant to section 257(l)(c) of the Ordinance, the Specified Person shall not again perpetrate any conduct which constitutes the market misconduct of:
 - (a) Insider dealing under section 270 of the Ordinance;
 - (b) False trading under section 274 of the Ordinance;
 - (c) Price rigging under section 275 of the Ordinance;
 - (d) Disclosure of information about prohibited transactions under section 276 of the Ordinance;
 - (e) Disclosure of false or misleading information inducing transactions under section 277 of the Ordinance; and
 - (f) Stock market manipulation under section 278 of the Ordinance.
4. Pursuant to section 257(1)(d) of the Ordinance, the Specified Person shall pay to the Government a sum of HK\$2,971,604.43 as a result of the market misconduct in question.
5. Pursuant to section 257(l)(e) of the Ordinance, the Specified Person shall pay to the Government costs and expenses reasonably incurred by the Government in relation or incidental to these proceedings, to be taxed if not agreed.
6. Pursuant to section 257(l)(f)(i) of the Ordinance, the Specified Person shall pay to the SFC costs and expenses reasonably incurred by the SFC in relation or incidental to these proceedings, to be taxed if not agreed, with a certificate for two counsel.

7. Pursuant to section 257(l)(f)(ii) and (iii) of the Ordinance, the Specified Person shall pay to the SFC costs and expenses reasonably incurred in relation or incidental to the investigation carried out before these proceedings were instituted as well as the investigation carried out for the purposes of these proceedings, in the agreed sum of HK\$709,328.
8. Pursuant to section 257(1)(g) of the Ordinance, the Accounting and Financial Reporting Council be recommended to take disciplinary action against the Specified Person.

AND FURTHER ORDERED that:-

9. Pursuant to section 264(1) of the Ordinance, notice be given to the Registrar of the High Court for this Order to be registered in the Court of First Instance.
10. Pursuant to section 264(2) of the Ordinance, this Order be filed with the Registrar of Companies as soon as reasonably practicable.

Dated the 29th day of July 2024.



Mr. Michael Hartmann, GBS
Chairman
Market Misconduct Tribunal

HCMP 1354 / 2024

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Misconduct Tribunal Proceedings under
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Market Misconduct Tribunal on 29 July 2024
under section 257(1) of the Securities and
Futures Ordinance, Cap. 571

AND

IN THE MATTER OF section 264 of the
Securities and Futures Ordinance, Cap. 571

ORDER

Dated the 29th day of July 2024

Filed on the 30th day of July 2024 at 14:51