

**Bills Committee
on Securities and Futures Bill and Banking (Amendment) Bill 2000**

**Statistics on disciplinary actions taken by
the Securities and Futures Commission**

At the Bills Committee meeting on 30 March 2001, we undertook to provide Members with relevant statistics on disciplinary actions taken by the Securities and Futures Commission (SFC). The statistics on various types of disciplinary actions, namely private reprimand, public reprimand, suspension and revocation of licence taken by the SFC under the Securities Ordinance (Cap. 333), the Commodities Trading Ordinance (Cap. 250) and the Leveraged Foreign Exchange Trading Ordinance (Cap. 451), for the past five years from 1996-97 to 2000-01, are now set out in the **Annex** for Members' information.

Financial Services Bureau
4 May 2001

**Statistics on disciplinary actions taken by SFC under relevant Ordinances
for the period 1996-97 to 2000-01**

Year	Private Reprimand	Public Reprimand	Suspension of licence	Revocation of licence
4/1996 – 3/1997	0	52	65	15
4/1997 – 3/1998	3	35	35	2
4/1998 – 3/1999	4	37	21	10
4/1999 – 3/2000	21	57	14	10
4/2000 – 3/2001	12	83	23	9