

STATEMENT OF DISCIPLINARY ACTION

Exchange's Disciplinary Action against a Former Director of Orient Securities International Holdings Limited (Stock Code: 8001)

SANCTIONS

The Stock Exchange of Hong Kong Limited (**Exchange**)

IMPOSES A DIRECTOR UNSUITABILITY STATEMENT and **CENSURE** against the former director of Orient Securities International Holdings Limited (**Company**):

Ms Cheung Yu Xuan (former name: Cheung Ni), former executive director

(referred to below as a **Director**).

The Director Unsuitability Statement is a statement that, in the Exchange's opinion, the Director is unsuitable to occupy a position as director or within senior management of the Company or any of its subsidiaries.

SUMMARY OF FACTS

Under Rules 5.02C and 5.13A of the GEM Listing Rules, the Director is obliged to (i) cooperate in any investigation conducted by the Listing Division (**Division**) and/or the GEM Listing Committee; (ii) promptly and openly answer any questions addressed to the Director; and (iii) provide up-to-date contact information to the Exchange for a period of three years from the date on which the Director ceases to be a director, failing which any documents / notices sent by the Exchange to the last known address on record shall be deemed to have been served on the Director.

As part of an investigation into, amongst other things, whether the Director had discharged the duties and obligations under the GEM Listing Rules, the Division sent investigation and reminder letters to the Director. The Exchange did not receive any response from the Director.

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GEM LISTING COMMITTEE'S FINDINGS

- (1) The Director breached the GEM Listing Rules by failing to cooperate with the Division in the investigation.
- (2) The Director's failure to discharge the responsibilities under the GEM Listing Rules was serious.

The GEM Listing Committee reminds directors that their obligation to provide information reasonably requested by the Exchange does not lapse after an issuer ceases to be listed on the Exchange or after they cease to be directors of a listed issuer.

CONCLUSION

The GEM Listing Committee decided to impose the sanctions set out in this Statement of Disciplinary Action.

For the avoidance of doubt, the Exchange confirms that the above sanctions apply only to the Director, and not to the Company or any other past or present directors of the Company.

Hong Kong, 12 March 2025