

NOTICE THAT THE BC SECURITIES COMMISSION HAS RECEIVED  
MONEY PURSUANT TO AN ORDER MADE AGAINST  
SHIJUN “CLARK” ZHU

Notice posted on September 29, 2023

The British Columbia Securities Commission (Commission) received \$38,639.69 as a result of an [order](#) made by the executive director under section 161(1)(g) of the *Securities Act* (the Act) against Shijun “Clark” Zhu.

Pursuant to section 15.1 of the Act, the Commission must publish a notice if funds are received from an order under section 161(1)(g) so that persons who lost money as a direct result of the misconduct that resulted in the order may make a claim.

On May 5, 2021, the executive director of the Commission and Zhu entered into a [settlement agreement](#) in which Zhu admitted contravention of sections 34(a) and 34(b) of the Act by being in the business of trading and advising without being registered. In 2016, Zhu entered into investment agreements with five investors, receiving discretionary authority over trading accounts with assets totalling \$532,854. By 2018, Zhu’s trading caused or contributed to the depletion of the investors’ funds.

As part of the settlement, Zhu agreed to pay \$38,639.69 to the Commission, representing the fees he received through his misconduct. Zhu also undertook to pay a \$40,000 administrative penalty and agreed to various market prohibitions.

If you are an investor who lost money in this matter, you may be eligible to recover funds. Please use this [Form](#) to make your claim by no later than **December 29, 2023**.

For more information, please see:

- [Returning Funds to Investors](#) on the Commission’s website
- *Securities Act*, RSBC 1996, c. 418, [sections 15.1](#) and [161\(1\)\(g\)](#)
- Securities Regulation, BC Reg. 204/2021, [Part 3 – Claims Under Section 15.1 of the Act](#)

卑詩省證券監管委員會  
根據下達的命令  
就朱石鈞（SHIJUN “CLARK” ZHU）一案  
收到款項的公告

本公告發佈於 2023 年 9 月 29 日

卑詩省證券監管委員會（簡稱證監會）根據《證券法》第 161(1)(G) 條，由執行總監對朱石鈞（Shijun “Clark” Zhu 音譯）下達命令，現已收到 38,639.69 加元。

根據《證券法》第 15.1 節，證監會必須發出公告，將其依循第 161(1)(g) 條下達的命令所收到的金額發還，發還對象是因導致該命令的不當行為而蒙受直接損失的投資者。

2021 年 5 月 5 日，證監會的執行總監與朱石鈞（Shijun “Clark” Zhu 音譯）達成和解協議，在和解協議中，朱承認無牌從事證券交易和提供諮詢，違反了《證券法》第 34(a) 和 34(b) 條。朱在 2016 年與五名投資者達成投資協議，取得了處理交易帳戶的酌情權力，該等交易帳戶名下的資產總值 532,854。到了 2018 年，朱的交易活動引起或導致投資者的資金全失。

作為和解協議的一部分，朱同意向證監會支付 38,639.69 加元，這金額代表他從不當行為收取得到的費用。朱還承諾支付四萬加元的行政罰金並同意接受多項證券市場的禁令。

如果您是在此案中損失資金的投資者，您可能有資格追討索回資金。請在 2023 年 12 月 29 日之前使用證監會網站上的 [此表格](#) 提出索賠。

想知道更多，請參閱：

- 證監會網站上的「向投資者發還資金」（[Returning Funds to Investors](#)）
- 1996 年 [《證券法》](#) c. 418, [第 15.1 節](#) 和 [161\(1\)\(g\)](#)
- [證券條例](#) BC Reg. 204/2021, [第 3 部分](#)（[Claims Under Section 15.1 of the Act](#)）