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SFC Takes Action Against Unregistered Securities Dealing Activities

22 Feb 2000

The Securities and Futures Commission announced that it had successfully prosecuted Chan Yuk Ping (Chan) and Li Chun Ngan (Li) for acting as dealer's representatives of Sanfull Securities Limited (Sanfull) whilst unregistered.

Chan and Li pleaded guilty before Ms Polly Lo at Western Magistracy on 22 February 2000. Chan and Li were fined \$5,000 each and ordered to pay costs totalling \$16,740 to the SFC.

An investigation by the SFC found that Chan and Li handled securities trading transactions for Sanfull's clients whilst they were not registered in any capacity with the SFC during the period between 1 November 1998 to 16 March 1999 and 1 August 1998 to 16 March 1999 respectively. They were remunerated by Sanfull via Cosmo Horizon Limited for these unregistered activities.

Page last updated : 1 Aug 2012

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證監會對無牌證券交易活動採取行動

2000年2月22日

證券及期貨事務監察委員會(證監會)今天公布,本會已成功檢控陳玉萍(陳氏)及李振銀(李氏),指上述二人在未取得註冊的情況下,作為新富證券有限公司(新富)的交易商代表。

陳氏及李氏在2000年2月22日在西區裁判法院向盧恒福裁判官承認控罪。陳氏及李氏各被判罰5,000元,並被下令須向證監會支付合共16,740元的調查費用。

證監會的調查發現陳氏及李氏分別在1998年11月1日至1999年3月16日及1998年8月1日至1999年3月16日的期間,雖然並未在證監會取得任何註冊身分,但卻為新富的客戶處理證券交易。上述二人是透過高雄有限公司從新富就該等無牌交易活動收取報酬。

最後更新日期: 2012年8月1日