

5 May 2011

A person convicted of issuing an advertisement relating to unlicensed business

The Eastern Magistracy today convicted Mr Lo Chun Lam of one count of issuing an advertisement promoting an unlicensed business of advising on futures contracts when he was not licensed by the Securities and Futures Commission (SFC) to do so.

Lo, who pleaded guilty today, was fined \$1,500 and was ordered to pay the SFC's investigation costs.

In or around March 2010, whilst unlicensed, Lo advertised on the internet promoting his service of advising on futures contracts.

The SFC reminds investors not to deal with unlicensed firms or people in order to protect their own interests. Investors can check if a firm or person is licensed on the SFC website (www.sfc.hk).

End

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就無牌業務發出廣告的人士被定罪

2011年5月5日

東區裁判法院今天裁定，勞俊霖（男）在未獲證券及期貨事務監察委員會（證監會）發牌而進行就期貨合約提供意見的業務的情況下，發出一則廣告推廣該業務，被判處一項罪名成立。

勞今天承認控罪，罰款1,500元，並須繳付證監會的調查費。

在或大約在2010年3月，勞無牌從事就期貨合約提供意見的業務，並在互聯網上發出關於該項服務的廣告。

證監會提醒投資者，為保障自身利益，切勿透過無牌商號或無牌人士進行交易。投資者可在證監會網站 (www.sfc.hk) 查核有關商號或人士是否證監會持牌人。

完

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