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SFC Successfully Prosecutes Cheung Hon Chung David For Unregistered Dealing in Securities

9 Jun 2000

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Cheung Hon Chung David (Cheung) for acting as a dealer's representative of Core Pacific-Yamaichi International (HK) Limited (CPYI) and/or Core Pacific-Yamaichi Securities (HK) Limited (CPYS) whilst unregistered.

Cheung was convicted after trial before Ms Katherine K Y Lo at Western Magistracy on 8 June 2000. Cheung was fined \$6,000 and ordered to pay costs \$5,000 to the SFC.

Page last updated : 1 Aug 2012

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證監會成功檢控張漢宗進行無牌證券交易活動

2000年6月9日

證券及期貨事務監察委員會（證監會）今天公布，本會已成功檢控張漢宗（張氏），指其未經註冊而以京華山一國際（香港）有限公司及／或京華山一證券（香港）有限公司的交易商代表的身分行事。

張氏在2000年6月8日於西區裁判法院經勞潔儀裁判法官裁定罪名成立。張氏除被判罰款6,000元外，亦被法院下令須向證監會支付調查費用5,000元。

最後更新日期：2012年8月1日