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## Enforcement Actions

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14 November 2000

### **SFC Successfully Prosecutes Yang Wai Tzu, Kirindi For Unregistered Dealing in Securities**

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Ms Yang Wai Tzu, Kirindi (Yang) for acting as a dealer's representative of CSC Securities (HK) Limited during the period 25 January 1999 to 23 February 1999 whilst unregistered.

Yang pleaded guilty before Ms Polly Lo at Western Magistracy on 14 November 2000. Yang was fined \$1,000 and ordered to pay costs of \$5,824 to the SFC