
Enforcement Actions

18 December 2000

SFC Successfully Prosecutes Chan Ka Hon, Edmund For Unregistered Dealing in Securities

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Chan Ka Hon, Edmund (Chan) for acting as a dealer's representative of CSC Securities (HK) Limited during the period 16 December 1998 to 20 January 1999 whilst unregistered.

Chan was convicted after trial before Ms Katherine K Y Lo at Western Magistracy on 18 December 2000. Chan was fined \$3,000 and ordered to pay costs of \$5,824 to the SFC.