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SFC Takes Action Against Unregistered Securities Dealing Activities

23 Nov 1999

The Securities and Futures Commission ("SFC") announced that it had successfully prosecuted Cheung Chi Ming ("Cheung") and Foo Kwok Chung ("Foo") for acting as dealer's representatives of Core Pacific – Yamaichi International (H.K.) Limited ("CPYI") and/or Core Pacific – Yamaichi Securities (H.K.) Limited ("CPYS") whilst unregistered.

Cheung and Foo pleaded guilty before Ms. Polly Lo at Western Magistracy on 23 November 1999. They were each fined \$5,000 and ordered to pay costs totalling \$10,628 to the SFC.

An investigation by the SFC found that during the period between 15 July 1998 and 2 September 1998, Cheung and Foo recruited clients and handled their orders whilst they were not registered in any capacity with the SFC. They were remunerated by CPYI and/or CPYS for these unregistered activities.

Page last updated : 1 Aug 2012

證監會對無牌證券交易活動採取行動

1999年11月23日

證券及期貨事務監察委員會("證監會")今天公布,本會已成功檢控張志明("張氏")及傅國頌("傅氏")在未獲得註冊的情況下,擔任京華山一國際(香港)有限公司("京華山一國際")及/或京華山一證券(香港)有限公司("京華山一證券")的交易商代表。

張氏及傅氏於1999年11月23日在西區裁判法院向盧恆福裁判法官承認控罪,各被判罰款5,000元,以及須向證監會支付總數達10,628元的調查費用。

證監會的調查發現在1999年7月15日至1998年9月2日期間,張氏及傅氏並未在證監會取得任何註冊,但卻招攬客戶及處理其買賣盤,並因該等無牌交易活動獲京華山一國際及/或京華山一證券支付酬勞。

最後更新日期: 2012年8月1日