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SFC Successfully Prosecutes Cheung Zo Man for Unregistered Dealing in Securities

18 Apr 2000

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Cheung Zo Man (Cheung) for acting as a dealer's representative of Sun On Tat Securities Company Limited, during or around the period 5 October 1998 to 3 May 1999, whilst unregistered.

Cheung pleaded guilty before Ms. Polly Lo at Western Magistracy on 18 April 2000. Cheung was fined \$5,000 and ordered to pay costs of \$10,432 to the SFC.

Page last updated : 1 Aug 2012

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證監會成功檢控張作民進行無牌證券交易

2000年4月18日

證券及期貨事務監察委員會(證監會)今天公布,本會已成功檢控張作民,指其於1998年10月5日至1999年5月3日期間,在未獲註冊的情況下以新安達證券有限公司的交易商代表的身分行事。

張氏於2000年4月18日在西區裁判法院向盧恆福法官承認上述控罪,被判罰款5,000元及須向證監會支付調查費用10,342元。

最後更新日期:2012年8月1日