

## SFC Takes Action Against Unregistered Dealing

6 Mar 2001

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Wong Kong Yui, Leung Chiu Yin, Wong Yuk Chun and Lo Hoor Han for acting as a dealer's representative of SEG International Securities (HK) Limited (SEG) whilst not registered with the SFC, and Wong Kong Yui, Lau Cheung Man and Tam Cham Kai for aiding and abetting, counselling and procuring employees of SEG to act as its unregistered representatives. All pleaded guilty before Ms Polly Lo at Western Magistracy, the four unregistered representatives were fined a total of \$14,500 and ordered to pay total costs of \$21,580 and the three aiders and abettors were fined a total of \$37,500 and ordered to pay total costs of \$23,167.

Page last updated : 1 Aug 2012

## 證監會對無牌證券交易採取行動

2001年3月6日

證券及期貨事務監察委員會（證監會）今天公布，本會已成功檢控黃剛裔、梁昭妍、黃玉真及勞可嫻，指控上述人士雖然未在證監會取得註冊，但卻以賽格國際證券（香港）有限公司（賽格）的交易商代表的身分行事。而黃剛裔、劉長文及譚湛佳則被控協助及教唆，慫使及促致賽格的僱員，以未經註冊代表的身分代表該公司行事。

上述各人在西區裁判法院向盧恆福裁判官承認上述的控罪。該四名未經註冊的代表合共被判罰款 **14,500** 元，並被下令須向證監會支付合共 **21,580** 元的調查費用。此外，三名負責協助及教唆的人士，則合共被判罰款 **37,500** 元，並被下令須向證監會支付合共 **23,167** 元的調查費用。

最後更新日期：2012年8月1日