



Securities & Futures Commission

TO THE BUSINESS EDITOR
FOR IMMEDIATE RELEASE

3 July 2001

Press Release

SFC Takes Action Against Unregistered Dealing

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Ms Lam Yik Mang (Lam) and Mr Lai Tik Kei (Lai) for acting as a dealer's representative of South China Securities Limited whilst not registered with the SFC. Lam and Lai pleaded guilty before Ms Polly Lo at Western Magistracy. Lam was fined \$2,000 and ordered to pay costs of \$7,649 to the SFC whilst Lai was fined \$2,000 and ordered to pay costs \$6,585 to the SFC.

For enquiries, please contact Ernest Lau at 2840-9470.

執法行動

2001年7月3日

證監會對無牌交易活動採取行動

證券及期貨事務監察委員會（證監會）今天宣布，本會已成功檢控林亦敏(林氏)和黎迪琦(黎氏)，指二人在未於證監會註冊的情況下，以南華證券投資有限公司的交易商代表的身份行事。林氏和黎氏分別在西區裁判法院向盧恆福裁判法官承認控罪。林氏被判罰款2,000元和須向證監會支付7,649元的調查費用，而黎氏則被判罰款2,000元和須向證監會支付6,585元的調查費用。