

17 October 2001

### **SFC Takes Action Against Unregistered Dealing**

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Mr Wong Lai Ho (Wong) for acting as a dealer's representative of South China Securities Limited whilst not registered with the SFC. Wong was convicted by Mr Stephen Wong at Western Magistracy. Wong was fined \$2,000 and ordered to pay costs of \$2,000 to the SFC.

*Page last updated: 7 November 2001*

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## 執法行動

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2001年10月17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）今天公布，本會已成功檢控黃禮浩（黃氏）。有關控罪指黃氏在未取得證監會註冊的情況下，以南華證券投資有限公司交易商代表的身分行事。黃氏在西區裁判法院被黃榮智裁判官判處罪名成立。黃氏被判罰款2,000元和須向證監會支付2,000元的調查費用。