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## SFC Prosecutes Tsang Wai Lin for Unlicensed Leveraged Foreign Exchange Trading

13 Dec 2004

The SFC has successfully prosecuted Ms Tsang Wai Lin for carrying on leveraged foreign exchange tradings whilst not licensed.

The SFC investigation revealed that between March 2001 and March 2003, Tsang, whilst not a licensed leveraged foreign exchange trader, opened accounts for a number of people to become clients of Hong Kong Forex Investment Limited, and advised 58 clients on making leveraged foreign exchange investment. As a result, Tsang breached sections 3 and 40(1)(c) of the Leveraged Foreign Exchange Trading Ordinance.

Mr Eddie Yip, a Magistrate at Eastern Magistracy, today found Tsang guilty after trial and fined her \$60,000.

Mr Alan Linning, SFC's Executive Director of Enforcement, said: "This is the sixth prosecution since 1 January 2004 for offences relating to unlicensed leveraged foreign exchange trading activities. Unlicensed activities are detrimental to investor interests and market integrity and the SFC will not hesitate to prosecute. Licensed companies condoning such activities will also be sanctioned. The investing public is reminded that only persons licensed with the SFC can perform duties of processing or advising on leveraged foreign exchange trades."

Ends

Note:

1. Please see SFC press releases dated [12 January](#), [27 February](#), [15 and 16 March](#) and [1 September in 2004](#) for details of the other five prosecutions.

Page last updated : 1 Aug 2012

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## 證監會檢控曾慧蓮 指其無牌從事槓桿式外匯交易

2004年12月13日

證監會已成功檢控曾慧蓮(女)，指其在未獲發牌的情況下從事槓桿式外匯交易。

證監會的調查發現，在2001年3月至2003年3月期間，曾在未領有槓桿式外匯交易商牌照的情況下，為多名人士開立帳戶以便該等人士成為香港外匯投資有限公司的客戶，及就進行槓桿式外匯投資向58名客戶提出意見，因而違反了《槓桿式外匯買賣條例》第3及第40(1)(c)條的規定。

東區裁判法院葉佐文裁判官今天審訊後裁定曾罪名成立及判處其罰款60,000元。

證監會法規執行部執行董事李顯能先生(Mr Alan Linning)表示："這是證監會自2004年1月1日以來就無牌槓桿式外匯交易活動的有關罪行作出的第六宗檢控。無牌活動有損投資者的權益及市場的廉潔穩健。證監會將會毫不猶疑地就有關活動作出檢控。持牌公司若縱容該等活動，亦會同樣遭受制裁。投資大眾應注意，只有獲證監會發牌的人士才可履行處理槓桿式外匯交易或就該等交易提供意見的職責。"

完

備註：

1. 有關其餘五宗檢控的詳情，請參閱證監會在2004年1月12日、2月27日、3月15及16日及9月1日發出的新聞稿。

最後更新日期：2012年8月1日