

Enforcement Actions

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10 November 2005

SFC Prosecutes Mak Wing Shun Agnes for Making Unsolicited Calls

The SFC has successfully prosecuted Ms Mak Wing Shun Agnes for making unsolicited calls.

An SFC investigation found that in August and September 2003, Mak, who was licensed as a representative of Tanrich Futures Limited at the time, made telephone calls to and visited some persons who were not clients of Tanrich with a view to inducing them to enter into agreements for trading in futures contracts, in contravention of section 174 of the Securities and Futures Ordinance.

Mak today pleaded guilty to two summonses before Mr Ian Candy, a Magistrate at Eastern Magistracy. Mak was fined \$10,000 and ordered to pay investigation costs of \$15,000 to the SFC.

Ends

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