

Enforcement News

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17 November 2005

SFC Prosecutes Lam Wing Chit for Making Unsolicited Calls

The SFC has successfully prosecuted Mr Lam Wing Chit for making unsolicited calls.

An SFC investigation found that between August and September 2003, Lam, who was a licensed representative of Tanrich Futures Limited at the time, had made telephone calls to and visited a person who was not a client of Tanrich with a view to inducing him to enter into an agreement for trading in futures contracts, in contravention of section 174 of the Securities and Futures Ordinance.

Lam was convicted after trial on one summons today before Mr Leung Wing Chung Winston, a Magistrate at Eastern Magistracy. Lam was fined \$5,000 and ordered to pay the SFC investigation costs of \$9,975 and legal costs incurred by the SFC.

Ends

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