
Enforcement News

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29 March 2007

SFC Prosecutes Wong Man Suen for Making Unsolicited Calls

The SFC has successfully prosecuted Ms Wong Man Suen, formerly known as Wong Yuen Yu, for making unsolicited calls, contrary to section 174 of the Securities and Futures Ordinance.

An SFC investigation found that between April and May 2006, Wong, whilst employed as a licensed representative of Emperor Futures Limited, made unsolicited calls to a person whom she persuaded to open an account with the firm to trade in futures contracts. As a result, that person traded in corn futures through Wong and sustained loss.

Wong today pleaded guilty to one summons before Mr Symon Wong Yu Wing, a Magistrate at Eastern Magistracy. Wong was fined \$5,000 and ordered to pay investigation costs of \$8,790 to the SFC.

Ends

Page last updated: 20 June 2007

與執法有關的新聞

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2007年 3月 29日

證監會檢控黃汶瑄指其作出未獲邀約的造訪

證監會成功檢控黃汶瑄（女）（前稱黃苑茹），指其作出未獲邀約的造訪，違反《證券及期貨條例》第174條。

證監會的調查發現，在2006年4月至5月當黃受僱擔任英皇期貨有限公司的持牌代表期間，黃向一名人士作出未獲邀約的造訪，並說服該人在該商號開立帳戶買賣期貨合約。結果，該人透過黃買賣玉米期貨，並蒙受損失。

黃今天在東區裁判法院向黃汝榮裁判官承認一項控罪。黃被判處罰款5,000元及被命令須向證監會繳付調查費8,790元。

完

最後更新日期: 2007年 6月 20日