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## Enforcement News

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27 August 2007

### **SFC Prosecutes Lee Mei Mei and Lau Ka Fai for Unlicensed Leveraged Forex Dealing**

The SFC has successfully prosecuted Ms Lee Mei Mei and Mr Lau Ka Fai for holding out as performing regulated functions for an unlicensed company in relation to leveraged foreign exchange trading.

An SFC investigation found that between March and August 2005, Lee and Lau, a business director and an account executive of Sincere Bullion Limited respectively, induced a subordinate to open an account with an unlicensed company incorporated in Macau, Tse's Investimento Internacional (Macau) Limitada, to trade leveraged foreign exchange contracts (Note 1).

In addition, Lee, who was also a licensed representative of Hong Kong Forex Investment Limited, was also successfully prosecuted for aiding and abetting an unlicensed subordinate in June 2005 to receive and place orders for a client to trade leveraged foreign exchange contracts through Hong Kong Forex, a licensed corporation.

Lee and Lau today pleaded guilty to two summonses and one summons respectively before Madam Adriana Tse, a Magistrate at Eastern Magistracy. Lee and Lau were fined \$3,000 and \$1,500 respectively, and were ordered to pay total investigation costs of \$31,221 to the SFC.

Ends

Notes:

1. Neither Lau nor Sincere Bullion Ltd hold any licence with the SFC for any regulated activity at any time.

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## 與執法有關的新聞

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2007年 8月 27日

### 證監會檢控李美美及劉家輝進行無牌槓桿式外匯交易

證監會成功檢控李美美(女)及劉家輝(男)，指他們顯示自己為一家未獲發牌的公司就槓桿式外匯交易執行受規管職能。

證監會的調查發現，在2005年3至8月期間，分別是訊匯金業有限公司的業務總監和客戶主任的李及劉誘使一名下屬在一家於澳門成立但未獲發牌的公司Tse's Investimento Internacional (Macau) Limitada開戶，以買賣槓桿式外匯合約(註1)。

此外，證監會亦成功檢控同時身為香港外匯投資有限公司的持牌代表的李，曾於2005年6月協助和教唆一名未領有牌照的下屬為客戶接盤及落盤，以透過持牌法團香港外匯買賣槓桿式外匯交易合約。

李及劉今天在東區裁判法院向裁判官謝沈智慧分別承認兩項及一項控罪，並分別被判處罰款3,000 元及1,500元，以及被命令須向證監會繳付調查費共31,221元。

完

備註：

1. 劉及訊匯金業有限公司在任何時候均並無就任何受規管活動持有證監會的牌照。

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