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## Law Chun Pon convicted of unlicensed dealing in securities

2 Apr 2009

The Securities and Futures Commission (SFC) successfully prosecuted Mr Law Chun Pon (Notes 1 and 2) for carrying on a business of dealing in securities without a licence.

Law pleaded guilty to one summons for an offence under section 114 of the Securities and Futures Ordinance before Madam Bina Chainrai, Acting Principal Magistrate, at Eastern Magistracy today. He was fined \$10,000 and was ordered to pay investigation costs of \$39,975 to the SFC.

Law's company, Smart Money Club Ltd, ran two approved Continuing Education Fund training courses. Law has never been licensed with the SFC for carrying on a business of his own in any regulated activities.

He solicited the attendees who participated in these courses to appoint him as their investment controller and traded in listed warrants for them from November 2005 to August 2008 and received commissions on profits earned from these dealings.

The SFC reminds investors not to deal with unlicensed firms or people in order to protect their own interests. Investors can look up the SFC website ([www.sfc.hk](http://www.sfc.hk)) to confirm whether a firm or a person is licensed.

End

Notes:

1. Law was previously convicted of making unsolicited calls. Please refer to SFC [press release](#) dated 27 April 2006.
2. In November 2008, the SFC banned Law from re-entering the industry for 32 months. Please refer to SFC [press release](#) dated 26 November 2008.

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## 羅振邦被裁定進行無牌證券交易罪成

2009年4月2日

證券及期貨事務監察委員會（證監會）成功檢控羅振邦（男）（註1及2），指其無牌經營證券交易業務。

羅今天在東區裁判法院向署任主任裁判官錢禮承認一項根據《證券及期貨條例》第114條所提出的控罪，被判處罰款10,000元及須向證監會繳付調查費39,975元。

由羅經營的智才投資學會有限公司，曾開辦兩個經持續進修基金批核的培訓課程，但羅個人從未獲證監會發牌經營任何受規管活動的業務。

羅招攬參與培訓課程的學員委任他為投資管理人，並在2005年11月至2008年8月期間，代他們買賣上市權證，其後從有關交易賺取的利潤中收取佣金。

證監會提醒投資者，為保障自身利益，切勿透過無牌商號或無牌人士進行交易。投資者可以透過證監會網站（[www.sfc.hk](http://www.sfc.hk)），核實個別商號或人士是否領有牌照。

完

備註：

1. 羅曾因進行未獲邀約的造訪而被定罪，詳情請參閱證監會2006年4月27日的[新聞稿](#)。
2. 證監會於2008年11月禁止羅重投業界，為期32個月，詳情請參閱證監會2008年11月26日的[新聞稿](#)。

最後更新日期：2012年8月1日