
Enforcement News

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25 November 2010

Lee Chi Ying convicted of unlicensed activities

The Eastern Magistracy today convicted Ms Lee Chi Ying of carrying on a business of dealing in securities without being licensed by the Securities and Futures Commission (SFC).

Lee pleaded guilty and was fined \$5,000. The Court also ordered Lee to pay the SFC's investigation costs of \$6,390.

Lee was found to have provided dealing services including price quotes and placing orders with a licensed brokerage firm between February 2005 and November 2009.

Lee was not employed or authorised by the firm nor licensed for such activities. The SFC's investigation is ongoing.

The SFC reminds investors to check the SFC online register at www.sfc.hk to ensure the people who handle their investments are licensed.

End

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李祉瑩進行無牌活動罪名成立

2010年11月25日

東區裁判法院今天裁定，李祉瑩（女）未領有證券及期貨事務監察委員會（證監會）發給的牌照而進行與證券交易有關的業務罪名成立。

李承認控罪，被判罰款5,000元。法院亦命令李向證監會繳付調查費6,390元。

調查發現，李在2005年2月至2009年11月期間提供交易服務，當中包括提供報價及向一家持牌經紀行發出交易指示。

李在該段期間並無受僱於該經紀行也沒有獲其授權，亦未獲發牌進行有關受規管活動。證監會目前仍在調查此案。

證監會提醒投資者應查閱證監會網站 (www.sfc.hk) 的紀錄冊，確保為他們處理投資事宜的人士領有牌照。

完

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