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SFC Prosecutes Lau Cheung On for Unregistered Dealing in Securities

13 Nov 1997

The SFC announced today that it had successfully prosecuted Mr Lau Cheung On (Lau) for unregistered securities dealing.

Lau pleaded guilty before Ms Polly Lo at Western Magistracy on 11 November 1997 to one summons in relation to his carrying on a business of dealing in securities whilst unregistered. He was fined \$ 20,000 and ordered to pay investigation costs of \$6,936 to the SFC.

The SFC's prosecution stemmed from an investigation into the activities of Ms Tsi Ki-fun (Tsi) whose registration as a dealer's representative of Chuangs & Co. Limited (Chuang's) was revoked on 4 December 1996 for misappropriating securities of three of Chuangs' clients. Tsi was also convicted in the District Court on 25 September 1997 in relation to this matter and sentenced to 18 months' imprisonment.

It was found that between 3 April 1995 and 6 September 1996, Lau had introduced some 70 clients to Chuangs via Tsi. Lau would then handle all aspects of these clients' trading including passing their orders to Tsi and arranging the settlement of their trades through Tsi. For providing such business to her, Tsi would give to Lau half of the 0.2% commission she received from Chuangs.

Page last updated : 1 Aug 2012

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證監會檢控劉祥安無牌進行證券交易

1997年11月13日

證監會公布在 1997 年 11 月 11 日成功檢控劉祥安（劉氏）無牌進行證券交易。

劉氏在西區裁判法院向盧恒福裁判法官承認一項無牌經營證券交易業務的控罪。劉氏被判罰款港幣 20,000 元及被下令須向證監會支付 6,936 元的調查費用。

證監會是繼該會對莊氏投資有限公司（莊氏投資）的交易商代表戚琪芬（戚氏）的活動進行調查後而展開這次調查。基於戚氏曾擅自挪用 3 名莊氏投資的客戶的證券，其註冊在 1996 年 12 月 4 日遭撤銷（請參閱證監會在 1996 年 12 月 4 日發出的新聞稿）。戚氏於 1997 年 9 月 25 日在地方法院就此事被判罪名成立，被判監禁 18 個月。

在這次調查中，證監會發現劉氏曾透過戚氏介紹 70 多名客戶予莊氏投資。劉氏負責這批客戶的交易事宜，包括將有關買賣盤發送給戚氏，以及透過戚氏安排有關交易的交收事宜。基於劉氏向戚氏介紹上述業務，戚氏將其就上述客戶的買賣而從莊氏投資收取的 0.2% 佣金的一半交給劉氏。

如有任何進一步查詢，請致電 (2840-9287) 與韋克志或陳志強聯絡。

最後更新日期：2012年8月1日