

17 February 1998

SFC Prosecutes Cheung Yee Man and Mony Wong for Unregistered Dealing

The SFC today successfully prosecuted Ms Cheung Yee Man (Cheung) for acting as a dealer's representative of Malahon Securities Limited (Malahon) whilst unregistered and Ms Mony Wong (Wong), a registered dealer's representative of Malahon, for aiding and abetting Cheung's activities. They were each fined \$5,000 by Ms Polly Lo at Western Magistracy and ordered to pay costs totalling \$13,600 to the SFC.

An investigation by the SFC found that between 28 March 1995 to 23 August 1995, Wong rebated commission she received from Malahon to Cheung in return for Cheung's handling client's orders to buy and sell securities through Malahon. Cheung was not registered with the Commission in any capacity.

For further details, please contact Bill Weeks or Chan Chi-keung at 2840-9287.

Page last updated: 20 June 2007

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

證監會檢控張綺雯及黃夢妮無牌進行證券買賣

1998年2月17日

證監會今天成功檢控張綺雯（張氏），指其未經註冊而擔任萬利豐證券有限公司（萬利豐）的交易商代表，另又成功檢控萬利豐一名註冊交易商代表黃夢妮（黃氏），指其協助及教唆張氏進行有關的活動。西區裁判法院盧恒福裁判法官判處兩人須各繳交5,000元的罰款，並飭令兩人向證監會繳付合共13,600元的調查費用。

證監會調查後發現，在1995年3月28日至1995年8月23日期間，黃氏將萬利豐向其發放的佣金，支付予張氏作為回佣，作為張氏處理其客戶透過萬利豐所發出的證券買賣盤的報酬。張氏並未以任何身分在證監會註冊。

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