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SFC Takes Action Against Unregistered Securities Dealer

20 Aug 1998

The Securities and Futures Commission announced that it had successfully prosecuted Ms Yu Hung Wai, Angel (Yu) and Mr Lo Wai Tai (Lo) for unregistered securities dealing activities in contravention of Section 48 of the Securities Ordinance.

Yu and Lo pleaded guilty before Mr A Wyeth at South Kowloon Magistracy on 20 August 1998. They were each fined \$3,000 for carrying on an unregistered business of securities dealing. In addition to the fines imposed, the defendants were each ordered to pay costs of \$5,000 to the SFC.

The SFC investigation revealed that during the period June 1997 to January 1998, Yu and Lo while in the employment of the Hong Kong office of Dizon Investments International Incorporation (Dizon), an investment company incorporated in the United States of America, sold United States securities to clients in Hong Kong. Dizon, its Hong Kong office, Yu and Lo are not registered with the SFC in any capacity.

For further information, please contact Bill Weeks at 2840-9287 or Chan Chi-keung at 2842-7624.

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證監會對無牌證券交易商採取行動

1998年8月20日

證券及期貨事務監察委員會今天公布，該會成功檢控于鴻惠（于氏）及盧惠泰（盧氏），指上述二人在未經註冊的情況下，進行證券交易活動，違反《證券條例》第48條的規定。

于氏及盧氏在1998年8月20日在南九龍裁判法院向裁判法官衛以寬承認有關控罪。兩人因經營未經註冊的證券交易業務而各被判處罰款3000元。此外，法庭亦下令兩名被告各自向證監會繳付調查費用5000元。

證監會的調查發現，于氏及盧氏在1997年6月至1998年1月受僱於Dizon Investments International Incorporation (Dizon) 的香港辦事處期間，曾向香港的客戶銷售美國證券。Dizon 是一家在美國註冊成立的投資公司。在今次事件中，Dizon、其香港辦事處、于氏及盧氏，均沒有以任何身分向證監會註冊。

如有任何查詢，請致電與韋克志 (2840 - 9289) 或陳志強 (2842 - 7624) 聯絡。

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