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## SFC Takes Action Against Unregistered Dealer's Representative

18 Mar 1999

The Securities and Futures Commission announced that it had successfully prosecuted Kong York Hay (Kong) and Ng Henry Kai Wah (Ng) for acting as dealer's representatives of Amber Global Limited (AGL) whilst unregistered.

Kong and Ng today pleaded guilty before Ms Suzanna Remedios at Western Magistracy. Kong and Ng were fined \$2,000 each and ordered to pay costs totalling \$8,000 to the SFC.

The SFC investigation revealed that during the period 1 April to 30 July 1998, AGL acted as an agent in Hong Kong for Amber Securities Corporation (ASC), a company registered with the Securities and Exchange Commission of the United States as a securities broker. Sales staff of AGL, including Kong and Ng, were engaged in recruiting clients in Hong Kong to open accounts with ASC and then receiving securities trading instructions for onward transmission to ASC. AGL, Kong and Ng were not registered with the SFC in any capacity.

Page last updated : 1 Aug 2012

## 證監會檢控未經註冊的交易商代表

1999年3月18日

證券及期貨事務監察委員會宣布，本會已成功檢控鄺若曦（鄺氏）及吳啟華（吳氏），指二人在未經註冊的情況下擔任 Amber Global Limited（AGL）的交易商代表。

鄺氏及吳氏於今天在西區裁判法院向李素蘭裁判法官承認控罪，二人各被判罰款 2,000 元及須向證監會支付合共 8,000 元的調查費用。

證監會調查發現，在 1998 年 4 月 1 日至 7 月 30 日期間，AGL 作為 Amber Securities Corporation（ASC）的香港代理人。ASC 為一家在美國證券交易委員會註冊的證券經紀行。AGL 的職員（包括鄺氏及吳氏在內）在香港招攬客人於 ASC 開設戶口，然後將收到的客戶買賣指示傳送予 ASC 執行。AGL、鄺氏及吳氏均並未以任何形式在證監會註冊。

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