

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [Enforcement news](#)

SFC Successfully Prosecutes Soon Lin Wai Alvin for Unlicensed Leveraged Foreign Exchange Trading

24 Aug 1999

The Securities and Futures Commission (SFC) announced today that it had successfully prosecuted Soon Lin Wai, Alvin (Soon) for contravention of the Leveraged Foreign Exchange Trading Ordinance (LFETO).

Soon pleaded guilty before Ms Pang Ip Tsui-Yuk at Western Magistracy to one summons in relation to holding himself out as carrying on an unlicensed business of leveraged foreign exchange trading as an agent of a Macau-based company. He was fined \$8,000 and ordered to pay costs of \$11,132 to the SFC.

The SFC's investigation found that between 1 March 1997 and 20 May 1998 (the period), Soon, as an agent of Tse's International Investment (Macau) Limited (Tse's Macau), introduced clients to trade leveraged foreign exchange contracts through Tse's Macau and provided administration support to these clients' trading. During the period, Soon and Tse's Macau were not licensed with the SFC in any capacity.

Page last updated : 1 Aug 2012

證監會成功檢控孫連偉無牌經營槓桿式外匯買賣業務

1999年8月24日

證券及期貨事務監察委員會（證監會）今天公布，本會已成功檢控孫連偉（孫氏）違反《槓桿式外匯買賣條例》（《槓桿外匯條例》）。

孫氏在西區裁判法院向彭葉翠玉裁判官承認一項控罪。有關控罪指孫氏在未獲發牌的情況下，顯示其本人以一家澳門公司的代理人的身分，經營槓桿式外匯買賣業務。孫氏被判罰款 8,000 元及被命令向證監會支付調查費用 11,132 元。

證監會的調查發現在 1997 年 3 月 1 日至 1998 年 5 月 20 日的期間（有關期間），孫氏作為謝氏投資集團（澳門）有限公司（謝氏澳門）的代理人，介紹客戶透過謝氏澳門買賣槓桿式外匯買賣合約，並就該等客戶的買賣提供行政支援。在有關期間，孫氏及謝氏澳門並未在證監會取得任何註冊。

最後更新日期：2012年8月1日