

## SFC Takes Action Against Unregistered Dealing Activities

24 Aug 1999

The Securities and Futures Commission (SFC) announced today that it had successfully prosecuted Choi Hak (Choi) trading as Vincent Management Company (VMC) for carrying on a business of dealing in securities whilst unregistered.

Choi pleaded guilty before Ms Pang Ip Tsui-Yuk at Western Magistracy. Choi was fined \$10,000 and ordered to pay costs of \$13,400 to the SFC.

The SFC investigation revealed that during the period 13 May 1997 to 31 March 1998, staff of VMC arranged clients to open securities trading accounts with Vermont Securities Company Limited (Vermont) and to trade through such accounts in return for commission payment from Vermont. Neither Choi nor VMC have been registered with the SFC as a securities dealer.

Page last updated : 1 Aug 2012

## 證監會對無牌交易活動採取行動

1999年8月24日

證券及期貨事務監察委員會（證監會）公布，本會已成功檢控以永勝管理公司（永勝）名義經營業務的蔡克（蔡氏）無牌經營證券交易業務。

蔡氏於西區裁判法院向彭葉翠玉裁判官承認上述控罪。蔡氏被判罰款 10,000 元及被法院命令須向證監會支付調查費用 13,400 元。

證監會的調查發現在 1997 年 5 月 13 日至 1998 年 3 月 31 日期間，永勝的職員安排客戶在威敏證券有限公司（威敏）開立證券交易帳戶，並透過該等帳戶進行交易，而威敏則支付佣金予永勝。蔡氏及永勝均未有在證監會註冊作為證券交易商。

最後更新日期：2012年8月1日