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## SFC Prosecutes Kwan Wud Hong for Unregistered Dealing in Securities

2 Sep 1999

The Securities and Futures Commission (SFC) announced today that on the 31 August, 1999 it had successfully prosecuted Kwan Wud Hong (Kwan) for acting as a dealer? representative of Tung Tai Securities Co., Limited (Tung Tai) without being registered.

Kwan pleaded guilty before Ms Polly Lo at Western Magistracy. Kwan was fined \$3,000 and ordered to pay investigation costs of \$21,000 to the SFC.

The SFC investigation revealed that during the period between 14 April 1998 and 15 August 1998, Kwan introduced clients to Tung Tai, assisted his clients to complete the account opening documentation, received trading instructions from his clients and relayed the orders to the registered persons of Tung Tai for execution in return for remuneration from Tung Tai. During the investigation period, Kwan was not registered with the SFC in any capacity.

Page last updated : 1 Aug 2012

## 證監會成功檢控關活航進行無牌證券交易活動

1999年9月2日

### 證監會成功檢控關活航進行無牌證券交易活動

證券及期貨事務監察委員會(證監會)今天公布,本會在1999年8月31日成功檢控關活航(關氏),指其未經註冊而以東泰證券有限公司(東泰)的交易商代表的身分行事。

關氏於西區裁判法院向盧恆福裁判官承認上述控罪。關氏被判罰款3,000元及被命令須向證監會支付調查費用21,000元。

證監會的調查發現,在1998年4月14日至1998年8月15日期間,關氏除介紹客戶予東泰外,亦協助本身的客戶填寫開戶文件,又接收來自其客戶的交易指示,並將該等買賣盤傳送至隸屬於東泰的註冊人士加以執行,以換取東泰給予的酬勞。在該項調查涉及的期間內,關氏並沒有在證監會取得任何註冊資格。

最後更新日期:2012年8月1日