

## Enforcement Actions

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29 June 2005

### **SFC Prosecutes Wong Yuen Sze Angel for Unlicensed Dealing and Lo Po Wah Julie for Aiding and Abetting**

The SFC has successfully prosecuted Ms Wong Yuen Sze Angel for acting as a dealer's representative of Sun Hung Kai Investment Services Limited whilst unlicensed and Ms Lo Po Wah Julie for aiding and abetting Wong.

An SFC investigation revealed that between 24 April 2003 and 2 October 2003, Wong, who was not licensed by the SFC, had introduced clients to open trading accounts at Sun Hung Kai, received orders from clients and confirmed execution of trades with clients, in contravention of section 114(3) of the Securities and Futures Ordinance. At the material time, Lo, the branch manageress of Sun Hung Kai and supervisor of Wong, aided and abetted Wong to perform those functions.

Wong and Lo were convicted today after trial before Mr Li Wai Chi, a Magistrate at Eastern Magistracy. Wong and Lo were fined \$1,500 each and ordered to pay investigation costs totalling \$26,634 to the SFC.

Ends

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