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SFC Prosecutes Unregistered Dealing Activities

11 Dec 1998

The Securities and Futures Commission announced that the following persons:

Mr Cheung Yiu Chung

Ms Choi Mei Yee

Mr Lui Siu Ming, Paul Louis

Ms Tung Oi Chu

Mr Lang Shing Hong, Alan

Mr Law Wai Kuen

Mr Chau Kwok Chi

Mr Cheuk Chu Kai

Mr Lee Lik Hang

Mr Lee Wing Sang

Mr Lui Hon Ching

who are either present or past employees of Cheung's Securities Brokers Limited and/or Lee Fung Hong (International) Futures Limited pleaded guilty to a total of 16 summonses at North Kowloon Magistracy today for having acted as dealer's representatives of the 2 entities during the period June 1997 to December 1997 without being registered with the SFC.

The level of fines ranged between \$1,000 to \$5,000 per summons and all were ordered to pay costs totalling \$27,378.

Page last updated : 1 Aug 2012

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證監會成功檢控無牌交易活動

1998年12月11日

證券及期貨事務監察委員會公布，下列人士今天在北九龍裁判法院承認一共 16 項有關無牌交易的控罪：

張耀忠

蔡美兒

呂肇銘

童愛珠

梁乘匡

羅偉權

周國智

卓柱基

李力行

李永生

呂瀚清

上述人士曾為或現為張氏証券有限公司及／或利豐行(國際)期貨有限公司的僱員。有關控罪指該等人士在 1997 年 6 月至 1997 年 12 月期間，在未有向證監會註冊的情況下，於上述兩家公司以交易商代表的身分行事。

每項控罪的罰款由 1,000 元至 5,000 元不等，而上述人士亦須向證監會支付合共 27,378 元的調查費用。

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