
Enforcement Actions

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30 September 2004

SFC Prosecutes Wan Wai Chi, Katherine for Not Attending SFC Investigation Interviews

The SFC has successfully prosecuted Ms Wan Wai Chi, Katherine for failing to comply with notices issued by SFC's investigators requiring attendance at interviews.

Three notices under Section 33(4) of the Securities and Futures Commission Ordinance were issued to Wan requiring her to attend interviews with investigators in connection with an investigation into market manipulation between August and November 2002. However, Wan failed to attend the interviews without reasonable excuse.

Wan pleaded guilty to three summonses today before Mr Johnny Chan, a Magistrate at Eastern Magistracy. Wan was fined \$30,000 and ordered to pay investigation costs of \$12,296 to the SFC.

Ends

Page last updated: 4 November 2004