
Enforcement News

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25 October 2007

SFC Prosecutes Pak Hoi Wun and Hung Nam Fook for Unlicensed Leveraged Forex Dealing Offences

The SFC has successfully prosecuted Ms Pak Hoi Wun for unlicensed leveraged forex dealing and Mr Hung Nam Fook for aiding and abetting Pak's unlicensed activities.

An SFC investigation revealed that between July and August 2006, Pak, whilst unlicensed, solicited a person to open an account with Hong Kong Forex Investment Limited to trade leveraged foreign exchange contracts, in breach of section 114 of the Securities and Futures Ordinance. The investigation also revealed that Hung, a licensed representative of Hong Kong Forex, aided and abetted Pak to perform the unlicensed activity.

Pak and Hung today pleaded guilty to three summonses before Mr Garry Tallentire, Principal Magistrate at Eastern Magistracy. They were fined \$1,000 and \$2,000 respectively and ordered to pay total investigation costs of \$30,283 to the SFC.

Ends

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與執法有關的新聞

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2007年 10月 25日

證監會檢控白凱媛及洪南福指兩人干犯無牌槓桿式外匯交易罪行

證監會成功檢控白凱媛(女)進行無牌槓桿式外匯交易及洪南福(男)協助及教唆白進行無牌活動。

證監會的調查發現，在2006年7月至8月期間，白未領有牌照而招攬一名人士在香港外匯投資有限公司開立帳戶以買賣槓桿式外匯合約，違反《證券及期貨條例》第114條。有關調查亦發現，洪身為香港外匯的持牌代表，曾協助及教唆白進行上述無牌活動。

白及洪今天在東區裁判法院向鄧立泰主任裁判官(Mr Garry Tallentire)承認三項控罪，分別被判處罰款1,000元及2,000元，及被命令須向證監會繳付調查費合共30,283元。

完

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