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SFC Reprimands and Fines Leung Kin Keung

31 Mar 2008

The SFC has issued a reprimand to Mr Leung Kin Keung and fined him \$50,000 (Note 1).

An SFC investigation found that:

- subordinates under Leung's supervision were involved in cold calling and unlicensed dealing;
- Leung should have taken steps or given appropriate direction preventing this kind of illegal activity; and
- as a sub-team leader, Leung had failed to adopt appropriate measures to ensure that his subordinates understood and complied with all the applicable laws and regulations.

Ends

Notes :

1. Leung is currently accredited to HT Futures Limited and Hantec International Limited to carry on Type 2 (dealing in futures contracts) and Type 3 (leveraged foreign exchange trading) regulated activities respectively under the Securities and Futures Ordinance.

Page last updated : 1 Aug 2012