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Lo Chun Lam convicted of unlicensed futures contracts business

17 Jun 2015

The Eastern Magistrates' Court has convicted Mr Lo Chun Lam of carrying on a business of advising on futures contracts when he was not licensed by the Securities and Futures Commission (SFC) to do so (Note 1).

Lo, who pleaded guilty, was fined \$7,500 and was also ordered to pay the SFC's investigation costs.

The court found that between May and August 2013, Lo gave advice on futures contracts in the name of "Cat Sir" or "Trader Cat" to subscribers who had paid to join private discussion groups he had set up in Facebook and LINE, a smartphone application. Subscribers paid fees of \$3,750 in order to access the private discussion groups for three months.

The SFC reminds investors not to deal with unlicensed firms or people in order to protect their own interests. Provision of securities and futures advices, irrespective of the medium, must be licensed by the SFC. Investors can check if a firm or person is licensed on the SFC website (www.sfc.hk).

End

Note:

1. Lo was convicted under section 114 of the Securities and Futures Ordinance.

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勞俊霖因無牌經營期貨合約業務被裁定罪名成立

2015年6月17日

勞俊霖（男）因在未獲證券及期貨事務監察委員會（證監會）發牌的情況下，經營就期貨合約提供意見的業務，在東區裁判法院被裁定罪名成立（註1）。

勞承認控罪，被法院罰款7,500元，及被命令須向證監會繳付調查費。

法院裁定，於2013年5月至8月期間，勞以“Cat Sir”或“Trader Cat”的名稱，向已付款加入他於Facebook及LINE（一個智能電話應用程式）設立的私人討論群組的訂戶就期貨合約提供意見。訂戶須支付3,750元的費用，以取覽該等私人討論群組三個月。

證監會提醒投資者，為保障自身利益，切勿透過無牌商號或無牌人士進行交易。不論透過何種媒介，任何人如就證券及期貨提供意見，必須向證監會領牌。投資者可在證監會網站（www.sfc.hk）查核有關商號或人士是否證監會持牌人。

完

備註：

1. 勞根據《證券及期貨條例》第114條被裁定罪名成立。

最後更新日期：2015年6月17日