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## SFC Prosecutes and Reprimands Lam Kin Chiu and Wang Hing Ting Barry for Short Selling

13 Mar 1997

The SFC announced today that it had successfully prosecuted Mr Lam Kin Chiu ("Lam") and Mr Wang Hing Ting Barry ("Wang") for short selling securities whilst they were employed as securities dealer's representatives of Megabase Securities Limited. Lam and Wang were also disciplined in relation to their short selling resulting in both being issued with a reprimand.

Lam and Wang were fined a total of \$30,000 and \$20,000 respectively by Ms Polly Lo at Western Magistracy on 11 March 1997 for short selling securities in contravention of Section 80 of the Securities Ordinance. They were also ordered to pay costs totalling \$13,500 to the SFC.

Page last updated : 1 Aug 2012

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## 證監會檢控和譴責林建昭及王興定沽空證券

1997年3月13日

證監會今天公布，該會成功檢控兩名證券交易商代表林建昭（"林氏"）及王興定（"王氏"）。控罪指上述二人在萬達基證券有限公司任職證券交易商代表期間曾沽空證券。林氏和王氏亦因此而遭紀律處分，結果二人同樣受到證監會譴責。

西區裁判法院盧恒福裁判法官於1997年3月11日裁定林氏和王氏因沽空證券罪名成立，違反《證券條例》第80條，須分別繳交30,000元及20,000元的罰款，另須共繳付13,500元調查費用予證監會。

如有任何查詢，請致電(2840-9287)與韋克志或陳志強聯絡。

最後更新日期：2012年8月1日