

Enforcement Actions

21 January 1999

SFC Takes Action Against Unregistered Dealing

The Securities and Futures Commission announced that it had successfully prosecuted Mr Chan Wai Chow Johnnie (Chan) for aiding and abetting a past employee of Lei Shing Hong Securities Limited to act as its unregistered representative during the period from 10 September 1997 to 30 July 1998.

Chan pleaded guilty before Ms Polly Lo at Western Magistracy on 19 January. He was fined \$7,000 and ordered to pay investigation costs of \$5,848 to the SFC.

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