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SFC Takes Action Against Unregistered Securities Dealing Activities

14 Dec 1999

The SFC announced that it had successfully prosecuted Mr Lo Ming Chung (Lo) for acting as dealer's representative of Core Pacific – Yamaichi International (H.K.) Limited (CPYI) and/or Core Pacific – Yamaichi Securities (H.K.) Limited (CPYS) whilst unregistered.

Lo pleaded guilty before Ms Polly Lo at Western Magistracy on 14 December 1999 and was fined \$5,000 and ordered to pay costs of \$7,578 to the SFC.

An investigation by the SFC found that during the period between 23 June 1998 and 22 July 1998, Lo recruited clients and handled their orders whilst he was not registered in any capacity with the SFC. Lo was remunerated by CPYI and/or CPYS for these unregistered activities.

Page last updated : 1 Aug 2012

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證監會對無牌證券交易活動採取行動

1999年12月14日

證監會今天公布，本會成功檢控盧明忠（盧氏），指盧氏在未獲註冊的情況下，以京華山一國際有限公司（京華國際）及／或京華山一證券有限公司（京華證券）的交易商代表的身分行事。

盧氏在1999年12月14日向西區裁判法院盧恒福裁判官承認有關控罪。盧氏被判處罰款5,000元及須向證監會支付調查費用7,578元。

證監會的調查發現，盧氏在1998年6月23日至1998年7月22日的期間，招攬客戶並處理其買賣盤。然而，盧氏當時並未在證監會取得任何註冊。京華國際及／或京華證券更就該等盧氏在未獲註冊而進行的活動向其支付酬金。

最後更新日期：2012年8月1日