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## SFC Successfully Prosecutes Luk Chung Yan For Acting as a Dealer's Representative Whilst Unregistered

22 Nov 2000

The SFC announced that it had successfully prosecuted Luk Chung Yan (Luk) for acting as a dealer's representative of Phillip Securities (HK) Limited during the period in or around January 2000 to February 2000, whilst she was not registered in any capacity with the SFC.

Luk pleaded guilty before Ms Polly Lo at Western Magistracy on 21 November 2000. She was fined \$2,500 and ordered to pay costs of \$13,473 to the SFC.

Page last updated : 1 Aug 2012

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## 證監會成功檢控陸頌欣無牌以交易商代表身分行事

2000年11月22日

證監會今天公布，本會已成功檢控陸頌欣（陸氏），指其在2000年1月至2000年2月期間或大約在該段期間，雖然並未在證監會取得任何註冊，但卻以輝立証券（香港）有限公司的交易商代表身分行事。

陸氏在2000年11月21日在西區裁判法院向盧恆福裁判官承認上述控罪。陸氏被判罰款2,500元，並被下令須向證監會支付13,473元的調查費用。

最後更新日期：2012年8月1日