

Enforcement News

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1 December 2005

SFC Prosecutes Leung Wing for Making Unsolicited Calls

The SFC has successfully prosecuted Ms Leung Wing for making unsolicited calls.

An SFC investigation found that in about August 2003, Leung, who was licensed as a representative of Tanrich Futures Limited at the material time, had made telephone calls to and visited a person who was not a client of Tanrich, with a view to inducing that person to enter into agreements to trade in futures contracts, in contravention of section 174 of the Securities and Futures Ordinance.

Leung today pleaded guilty to one summons before Mr Li Wai Chi, a Magistrate at Eastern Magistracy. Leung was fined \$2,000 and was ordered to pay investigation costs of \$14,533 to the SFC.

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