

## Enforcement Actions

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**21 December 1998**

### **SFC Takes Action Against Unregistered Dealing**

The Securities and Futures Commission announced that it had successfully prosecuted Mr Ng Shek Kwong (Ng) for acting as a dealer's representative of Cheung's Securities Brokers Limited (Cheung's) without registration and aiding and abetting 11 present and past employees of Cheung's and/or Lee Fung Hong (International) Futures Limited (LFH) to act as unregistered representatives of Cheung's or LFH during the period January 1997 to December 1997. The SFC also announced that it had successfully prosecuted Mr Kong Wai Man (Kong) for aiding and abetting 12 present or past employees of Cheung's to act as unregistered representatives of Cheung's during the period March 1997 to December 1997.

Ng and Kong pleaded guilty to a total of 29 summonses before Mr John Saunders at North Kowloon Magistracy on 18 December 1998. Ng was fined \$13,500 and Kong was fined \$6,000.

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*Page last updated: 7 November 2001*

## 證監會採取行動對付無牌交易活動

1998年12月21日

證券及期貨事務監察委員會公布，該會成功檢控吳碩光(吳氏)在1997年1月至1997年12月期間，在未有於證監會註冊的情況下，在張氏証券有限公司(張氏)以交易商代表的身分行事，並且協助及教唆張氏及／或利豐行(國際)期貨有限公司(利豐行)的11名現任及前僱員，在張氏或利豐行以未獲註冊的代表的身分行事。此外，證監會亦公布，該會成功檢控江煒文(江氏)在1997年3月至1997年12月期間，協助及教唆張氏的12名現任或前僱員，在張氏以未獲註冊的代表的身分行事。

吳氏及江氏在1998年12月18日在北九龍裁判法院向辛達誠法官承認一共29項控罪。吳氏及江氏分別被判罰款13,500元及6,000元。

最後更新日期：2012年8月1日