

Enforcement Actions

22 September 1999

SFC Successfully Prosecutes Patricia Cheung Pui Lee and Cheung Man Kwong for Unregistered Dealing in Securities

The Securities and Futures Commission (SFC) announced that it had successfully prosecuted Patricia Cheung Pui Lee (Patricia Cheung) and Cheung Man Kwong (Cheung) for acting as dealer's representatives of Ever-Long Securities Company Limited (Ever-Long) whilst unregistered.

Both Patricia Cheung and Cheung pleaded guilty before Ms Polly Lo at Western Magistracy on 21 September 1999. Patricia Cheung was fined \$4,000 and Cheung was fined \$6,000. They were ordered to pay costs totalling \$21,836 to the SFC.

An investigation by the SFC found that between 27 August 1997 and 20 February 1998, Patricia Cheung was remunerated by Ever-Long for handling clients' orders to buy and sell securities, while Cheung was remunerated for recruiting clients and handling clients' orders. Both Patricia Cheung and Cheung were not registered with the SFC in any capacity during the time of their activities.

Page last updated: 7 November 2001

證監會成功檢控張貝莉及張民光進行無牌證券交易活動

1999年9月22日

證券及期貨事務監察委員會(證監會)今天公布,本會已成功檢控張貝莉及張文光,指上述二人未經註冊而以長雄證券有限公司(長雄)的交易商代表的身分行事。

兩人在1999年9月21日於西區裁判法院向盧恆福裁判官承認上述控罪。張貝莉及張文光分別被判罰款4,000元及6,000元。此外,他們亦被命令須向證監會支付合共21,836元的調查費用。

證監會的調查發現,在1997年8月27日至1998年2月20日期間,張貝莉為長雄處理客戶的證券買賣指示並獲得酬勞;而張文光則為長雄招攬客戶及處理客戶的買賣盤而得到報酬。兩人在進行上述活動時均沒有在證監會取得任何註冊資格。

最後更新日期:2012年8月1日