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Chan Kim Wing and Tang Kin Lok, Eddie Fined for Not Attending SFC Investigation Interviews

30 Sep 2003

The SFC has successfully prosecuted Chan Kim Wing and Tang Kin Lok, Eddie for failing to comply with notices issued by SFC's investigators requiring attendance at interviews.

Four notices under Section 33(4) of the Securities and Futures Commission Ordinance and section 183(c) of Securities and Futures Ordinance were issued to Chan and Tang requiring them to attend interviews with investigators in connection with two investigations into market manipulation. However, Chan and Tang without reasonable excuse failed to attend the interviews.

Chan and Tang pleaded guilty to two summonses each before Principal Magistrate Mr T. S. Jenkins at Western Magistracy on 23 September 2003. They were today fined \$20,000 each. In passing sentence, Mr T. S. Jenkins warned the two defendants that they had an ongoing obligation to assist the SFC investigation and if there were any further breach, he would consider giving them custodial sentences.

Mr Alan Linning, SFC's Executive Director of Enforcement, welcomed the court decision and warning as to custodial sentence. He reminds those persons who are served with notices that they must comply with the requirements of the notices and warned that the SFC will not hesitate to prosecute any parties seeking to frustrate its investigation.

Ends

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陳劍榮及鄧建樂因缺席證監會的調查會見而被判處罰款

2003年9月30日

證監會已成功檢控陳劍榮及鄧建樂，指他們未有依照證監會調查員發出的通知的要求而出席會見。

證監會曾根據《證券及期貨事務監察委員會條例》第33(4)條及《證券及期貨條例》第 183(c) 條向陳氏及鄧氏發出4份通知，要求他們就兩項有關操縱市場的調查出席會見並接受調查員查問。然而，陳氏及鄧氏在無合理解釋的情況下缺席有關的會見。

陳氏及鄧氏在2003年9月23日分別向西區裁判法院主任裁判官莊景傑承認兩項控罪。他們今天分別被判處罰款20,000元。莊景傑在判刑時向兩名被告作出警告，指他們有持續的責任就證監會的調查提供協助，如有再犯，他將會考慮對他們判處監禁。

證監會法規執行部執行董事李顯能歡迎法院作出有關判決及提出判處監禁的警告。他提醒接獲會見通知的人士必須遵從通知內的規定，若任何人試圖阻撓證監會的調查工作，證監會必定會毫不猶疑提出檢控。

完

最後更新日期：2012年8月1日