

Enforcement Actions

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7 July 2006

SFC Prosecutes Wong Yick Keung for Making Unsolicited Calls

The SFC has successfully prosecuted Mr Wong Yick Keung for making unsolicited calls.

An SFC investigation found that in December 2004, Wong, a licensed representative of Hantec International Limited, had telephoned and visited a person who was not a client of Hantec. Wong had also offered to make an agreement with the person with a view to inducing her to sell or purchase leveraged foreign exchange contracts at Hantec, contrary to section 174 of the Securities and Futures Ordinance.

Wong today pleaded guilty to one summons before Mr William Lam, a Magistrate at Eastern Magistracy. Wong was fined \$8,000 and ordered to pay investigation costs of \$8,405 to the SFC.

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