
Enforcement News

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10 March 2011

Two people convicted of unlicensed activities

The Eastern Magistracy today convicted Mr Ho Ka Ho and Mr Yeung Hoi Fan of 10 counts of carrying on a business of advising on futures contracts without a licence and issuing advertisements relating to that business.

Ho and Yeung, who pleaded guilty today, were each fined \$7,500 and were ordered to pay the SFC's investigation costs.

From June 2010 to August 2010, whilst unlicensed, Ho and Yeung carried on a business of advising on futures contracts and issued advertisements on the internet promoting their service.

The SFC reminds investors to check the SFC's Public Register of Licensed Persons and Registered Institutions at www.sfc.hk to ensure that people who provide investment advice are licensed.

End

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兩名無牌進行受規管活動人士罪名成立

2011年3月10日

東區裁判法院今天裁定，何家灝（男）及楊凱帆（男）無牌經營就期貨合約提供意見的業務，並就該無牌業務發出廣告，共十項罪名全部成立。

何及楊均承認控罪，各被罰款7500元，並須繳付證監會的調查費。

在2010年6月至8月期間，何及楊無牌經營就期貨合約提供意見的業務，同時在互聯網發出宣傳有關服務的廣告。

證監會提醒投資者應查閱證監會網站 (www.sfc.hk) 的〈持牌人及註冊機構的公眾紀錄冊〉，確保向他們提供投資意見的人士均領有牌照。

完

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