

20 April 2011

A person convicted of unlicensed activities

The Eastern Magistracy today convicted Mr Lau Kam To of four counts of issuing advertisements promoting an unlicensed business of advising on securities and carrying on regulated activities when he was not licensed by the Securities and Futures Commission (SFC) to do so.

Lau, who pleaded guilty today, was fined a total of \$5,000 and was ordered to pay the SFC's investigation costs.

From April to May 2010, whilst unlicensed, Lau carried on a business of advising on securities and issued advertisements on the internet promoting his service.

The SFC reminds investors not to deal with unlicensed firms or people in order to protect their own interests. Investors can check if a firm or person is licensed on the SFC website (www.sfc.hk).

End

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無牌進行受規管活動人士罪名成立

2011年4月20日

東區裁判法院今天裁定，劉錦濤（男）未獲證券及期貨事務監察委員會（證監會）發牌而就證券提供意見並發出有關廣告，以及無牌進行上述受規管活動，被判四項罪名成立。

劉今天承認控罪，合共罰款5,000元，並須繳付證監會的調查費。

劉於2010年4月至5月期間無牌經營就證券提供意見的業務，並在互聯網刊登廣告推廣這項服務。

證監會提醒投資者，為保障自身利益，切勿透過無牌商號或無牌人士進行交易。投資者可在證監會網站 (www.sfc.hk) 查核有關商號或人士是否證監會持牌人。

完

最後更新日期：2012年8月1日