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SFC Prosecutes Tam Suk Ling for Short Selling

15 Apr 1999

The Securities and Futures Commission announced that on 13 April 1999 it had successfully prosecuted Ms Tam Suk Ling (Tam) for short selling securities on the Stock Exchange of Hong Kong Limited in May and June 1998.

Tam pleaded guilty before Ms Polly Lo at Western Magistracy to 2 summonses in relation to her short selling of securities in contravention of Section 80 of the Securities Ordinance. Section 80(1) of the Securities Ordinance prohibits the sale of securities when the seller does not have a presently exercisable and unconditional right to sell.

Tam was fined a total of \$4,000 and was ordered to pay investigation costs of \$5,558 to the SFC.

Page last updated : 1 Aug 2012

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證監會成功檢控譚淑玲非法賣空證券

1999年4月15日

證券及期貨事務監察委員會公布，本會在1999年4月13日已成功檢控譚淑玲（譚氏），指其於1998年5月至6月期間在香港聯合交易所非法賣空證券。

譚氏在西區裁判法院向盧恒福裁判法官承認合共2項控罪。有關控罪指譚氏非法賣空證券，違反《證券條例》第80條的規定。《證券條例》第80(1)條禁止賣方出售其沒有即時行使權及無條件出售權的證券。

譚氏因兩項控罪罪名成立，被判處罰款合共4,000元，及須向證監會支付共5,558元的調查費用。

最後更新日期：2012年8月1日