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## SFC Prosecutes Tsoi Leung Po for Issuing Unauthorised Advertisements and Unlicensed Investment Advising

6 Jan 2005

The SFC has successfully prosecuted Mr Tsoi Leung Po for issuing investment-related advertisements without authorisation from the SFC and advising on securities whilst unlicensed.

An SFC investigation revealed that between June and October 2003, Tsoi, who was not licensed by the SFC, issued advertisements in newspapers which contained an invitation to the public to enter into an agreement to acquire or dispose of securities, and gave investment advice to a number of investors, in contravention of sections 103 and 114 of the Securities and Futures Ordinance respectively.

Tsoi today pleaded guilty to eight summonses before Mr Chan Jong-herng, Johnny at Eastern Magistracy. Tsoi was fined \$16,000 and ordered to pay investigation costs of \$20,325 to the SFC.

Ends

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## 證監會檢控蔡良甫 指其發出未經認可的廣告及 無牌提供投資意見

2005年1月6日

證監會成功檢控蔡良甫（男），指其發出未經證監會認可的與投資有關的廣告，以及在未獲發牌的情況下就證券提供意見。

證監會在調查中發現，在2003年6月至10月期間，蔡並未獲證監會發牌，但卻在報章上刊登廣告，載有請公眾訂立買賣證券協議的邀請，及向多名投資者提供投資意見，因而分別違反《證券及期貨條例》第103及114條。

蔡今天於東區裁判法院向陳仲衡裁判官承認8項控罪，被判處罰款16,000元，及被命令須向證監會繳付調查費20,325元。

完

最後更新日期：2012年8月1日