
Enforcement News

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3 November 2006

SFC Prosecutes Li Kwok Keung Asser for Misleading the SFC

The SFC has successfully prosecuted Mr Li Kwok Keung Asser for misleading the SFC.

An SFC investigation found that Li, a licensed representative, had provided misleading information to an SFC investigator during an interview, in contravention of section 184 of the SFO.

Li today pleaded guilty to one summons before Mr Chan Jong-herng, Johnny, a Magistrate at Eastern Magistracy. Li was fined \$4,000 and ordered to pay investigation costs of \$12,261 to the SFC.

Ends

Page last updated: 20 June 2007

與執法有關的新聞

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2006年 11月 3日

證監會檢控李國強指其誤導證監會

證監會成功檢控李國強(男)，指其誤導證監會。

證監會的調查發現李身為持牌代表，曾在某次會見中向證監會調查員提供具誤導性的資料，因而違反《證券及期貨條例》第184條。

李今天在東區裁判法院向陳仲衡裁判官承認一項控罪。李被判處罰款 4,000元及被命令須向證監會繳付調查費12,261元。

完

最後更新日期: 2007年 6月 20日