

SFC Prosecutes Kwong Wai Tong and Wong Ka Chun for Short Selling

4 Jun 1998

The Securities and Futures Commission announced today that it had successfully prosecuted Mr Kwong Wai Tong (Kwong) and Mr Wong Ka Chun (Wong) for short selling securities on the Stock Exchange of Hong Kong Limited during the period 8 January 1997 to 26 March 1997.

Kwong and Wong both pleaded guilty before Ms Polly Lo at Western Magistracy to a total of 74 summonses in relation to their short selling of securities in contravention of Section 80 of the Securities Ordinance. Section 80(1) of the Securities Ordinance which prohibits the sale of securities when the seller does not have a presently exercisable and unconditional right to sell them. Kwong (68 summonses) and Wong (6 summonses) were fined \$ 34,000 and \$ 6,000 respectively. They were also ordered to pay costs totalling \$ 17,794 to the SFC.

For further information, please contact Bill Weeks at 2840-9289 or Kathleen Ho at 2840-9231.

Page last updated : 1 Aug 2012

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

證監會成功檢控鄺偉棠及黃家俊賣空證券

1998年6月4日

證券及期貨事務監察委員會("證監會")今天公布,該會已成功檢控鄺偉棠("鄺氏")及黃家俊("黃氏")於1997年1月8日至1997年3月26日期間在香港聯合交易所非法賣空證券。

鄺氏及黃氏在西區裁判法院向盧恒福裁判法官承認合共74項控罪。有關控罪指鄺氏及黃氏非法賣空證券,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。鄺氏(68項控罪)及黃氏(6項控罪)各被判罰款34,000元及6,000元,以及須向證監會支付共17,794元的調查費用。

如有進一步查詢,請致電與韋克志(2840-9289)或賀曾愉(2840-9231)聯絡。

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