

## SFC Suspends the Registration of Mok Yik Shing

23 Mar 2000

The SFC announced today that it had suspended the registration of Mr Mok Yik Shing (Mok), a dealer's representative of Whole Win Securities Limited, for one month under the Securities Ordinance (SO).

The SFC's action stemmed from an inquiry which revealed that Mok:-

(a) had between February to March 1998 failed to make proper enquiry to ensure his client had the securities in the account or had made the necessary borrowing arrangement before executing sell orders on the client's behalf; and

(b) had concealed his trading through another broker from his employer during the period 12 June 1996 to 9 February 1999 in contravention of its internal policy on staff dealing.

The SFC concluded that Mok's conduct had impugned his fitness and properness to be registered.

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## 證監會暫時吊銷莫亦誠的註冊

2000年3月23日

證監會今天宣布，本會已根據《證券條例》的規定，暫時吊銷鴻運證券有限公司交易商代表莫亦誠（莫氏）的註冊，為期一個月。

證監會的行動源自一項查詢，當中發現莫氏：

(a) 於1998年2月至3月期間，在沒有適當查詢過客戶，以確保客戶的帳戶內存有股份或已進行所需的股份借貸安排前，替客戶執行賣盤；及

(b) 於1996年6月12日至1999年2月9日期間，向僱主隱瞞其透過另外一家經紀行進行買賣一事，違反其公司有關員工買賣股份的內部政策。

證監會斷定莫氏的行為已令其作為註冊人的適當人選資格受到質疑。

最後更新日期：2012年8月1日