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SFC Suspends the Registration of Man Kin Wai Ricky

22 Nov 2000

The Securities and Futures Commission (SFC) announced today that it has suspended the registration of Man Kin Wai, Ricky (Man), a dealer's representative registered under the Securities Ordinance (SO), for a period of two months.

The action stemmed from an inquiry which revealed that Man, whilst employed as a dealer's representative of Pacific Challenge Securities Limited (PCS), had knowingly dealt in securities for another registered person's employee without obtaining that registered person's consent; and conducted discretionary trades for a client without obtaining prior written authorisation from the client. As a result, Man breached the Code of Conduct For Persons Registered with the Securities and Futures Commission. In addition, Man was also found to have provided misleading and inconsistent information to SFC staff in the course of the inquiry.

The SFC concluded that Man's conduct had impugned his fitness and properness to remain as a registered person. In deciding to suspend Man's registration, the SFC took into account that Man had not been practising in the industry for five months.

Page last updated : 1 Aug 2012

證監會暫時吊銷文建威的註冊

2000年11月22日

證券及期貨事務監察委員會（證監會）今天公布，本會已暫時吊銷根據《證券條例》註冊為交易商代表的文建威（文氏）的註冊，為期2個月。

上述行動源自一宗查訊，當中發現文氏在受僱為太平洋興業證券有限公司（太平洋興業）的交易商代表期間，在未取得另一名註冊人士的同意的情況下，故意替該名註冊人士的僱員進行證券交易；以及在未取得一名客戶的書面同意之前，替該名客戶進行全權委託交易，因而違反《證券及期貨事務監察委員會註冊人操守準則》的規定。此外，在查訊期間，文氏曾向證監會職員提供誤導性及前後不一致的資料。

證監會認為文氏的行為使人質疑他是否適宜繼續獲得註冊。證監會在決定吊銷文氏的註冊時，已考慮到文氏已沒有從事證券買賣業務5個月。

最後更新日期：2012年8月1日