

## SFC Takes Action Against Mr Chau Tat Ming

15 Mar 2001

The Securities and Futures Commission (SFC) announced today that it had revoked all registrations and licence of Mr Chau Tat Ming (Chau) for he had used assets of one of his clients without authority.

Chau was licensed as a representative under the Leveraged Foreign Exchange Trading Ordinance, registered as a commodity dealer's representative under the Commodities Trading Ordinance, and registered as a dealer's representative under the Securities Ordinance.

An SFC inquiry found that in September 2000 Chau used his client's assets without authority while he was a licensed representative of Celestial Forex Limited, a registered commodity dealer's representative of Celestial Commodities Limited and a registered dealer's representative of Celestial Securities Limited.

The SFC decided to revoke all the registrations and licence of Chau since he had committed serious misconduct and grossly abused the trust his client placed in him.

The SFC considers that good conduct of intermediaries is important in maintaining investors' confidence in our markets. Intermediaries should act honestly and fairly in the best interests of their clients and the integrity of the market. The SFC will continue to take strong actions against this type of misconduct to protect investors' interests.

Page last updated : 1 Aug 2012

## 證監會對周達明採取行動

2001年3月15日

證券及期貨事務監察委員會（證監會）今天公布，鑑於周達明(周氏)未獲得其一名客戶的授權而挪用該客戶的資產，本會已撤銷周氏的所有註冊及牌照。

在此之前，周氏是根據《槓桿式外匯買賣條例》獲發牌為代表、根據《商品交易條例》獲註冊為商品交易商代表，及根據《證券條例》獲註冊為交易商代表。

證監會的查訊發現，在2000年9月，周氏當時身為時富外匯有限公司的持牌代表、時富商品有限公司的註冊商品交易商代表及時富證券有限公司的註冊交易商代表，但卻在未獲得其一名客戶的授權的情況下挪用其資產。

鑑於周氏的行為嚴重失當，且嚴重違背其客戶對他的信任，因此證監會決定撤銷其所有註冊及牌照。

證監會認為，良好的操守對於維持投資者對本港市場的信心至為重要。中介人應以誠實、公平和維護客戶最佳利益的態度行事及確保市場持正操作。證監會將繼續對該等失當行為採取嚴厲的行動，從而保障投資者的權益。

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