

SFC Revokes the Registration of Mr Wong Kwai Sum, a Dealer's Representative under the Securities Ordinance

19 Apr 2001

The Securities and Futures Commission (SFC) announced today that it had revoked the registration of Mr Wong Kwai Sum (Wong), a dealer's representative under the Securities Ordinance.

The revocation stems from an inquiry covering the period from January 2000 to early February 2001 when Wong was employed by Yue Shing Securities Company Limited (Yue Shing) as an accountant and as a dealer's representative. The inquiry found that Wong, because of his senior position at Yue Shing, was able to create false accounting records and thereby use the company's funds to settle his trading losses as a result of trading through two of his relatives' accounts with Yue Shing, without their knowledge and authority.

Wong had since left Yue Shing.

Wong's conduct resulted in substantial losses by Yue Shing and exposed his relatives to unnecessary financial risks. The SFC concluded Wong was guilty of serious misconduct and his fitness and properness has been seriously impugned. The SFC therefore decided to revoke his registration.

證監會撤銷黃貴森根據《證券條例》取得的交易商代表的註冊

2001年4月19日

證券及期貨事務監察委員會(證監會)今天公布,本會已撤銷黃貴森(黃氏)根據《證券條例》取得的交易商代表的註冊。

上述撤銷註冊的行動源自一宗涵蓋2000年1月至2001年2月初期間的事宜的查訊,而當時黃氏受僱為裕成證券有限公司(裕成)的會計兼交易商代表。有關查訊發現由於黃氏在裕成身居要職,因此得以捏造虛假的會計記錄,利用該公司的資金來填補其本身進行的交易的虧損。黃氏透過兩名親戚在裕成開立的帳戶進行有關的交易,但這些交易卻是在其親戚並不知情和未有作出授權的情況下進行的。

黃氏之後已不再受僱於裕成。

黃氏的操守使裕成蒙受重大的損失,並且使其親戚承擔不必要的財務風險。證監會認為黃氏犯有嚴重的失當行為及其作為適當人選的資格已受到嚴重質疑。因此,證監會決定撤銷黃氏的註冊。

最後更新日期:2012年8月1日