

SFC Reprimands Mr Foo King Yin

3 May 2001

The Securities and Futures Commission (SFC) announced today that it has reprimanded Mr Foo King Yin (Foo), a dealer's representative registered under the Securities Ordinance (SO).

The action stemmed from an inquiry conducted under section 56 of the SO which revealed that Foo, whilst employed by Koffman Securities Limited, had:

- failed to ensure that a written agreement was entered into with a client before any brokerage service was provided to that client;
- failed to obtain written authorisation from a client for the purpose of managing the client's account on a discretionary basis; and
- purchased securities for a client on a discretionary basis without obtaining the client's prior consent.

The SFC concluded that Foo was guilty of misconduct and his conduct had impugned his fitness and properness to remain as a registered person.

Page last updated : 1 Aug 2012

證監會譴責符敬賢

2001年5月3日

證券及期貨事務監察委員會（證監會）今天公布，本會已譴責根據《證券條例》註冊的交易商代表符敬賢（符氏）。

上述行動源自一項根據《證券條例》第56條而進行的查訊，當中發現符氏在受聘於高富民証券有限公司的期間，曾經：

- 未有確保在向一名客戶提供經紀服務之前，已經與該客戶簽訂書面協議；
 - 未有就以全權委託方式管理一名客戶的帳戶一事，取得該客戶的書面授權；及
 - 在未事先獲得一名客戶同意的情況下，以全權委託方式替該客戶購買證券。
- 證監會認為符氏犯了失當行為，而其行為使人懷疑其是否為繼續獲得註冊的適當人選。

最後更新日期：2012年8月1日