

## Securities and Futures Commission Suspends Registration of Ng Kei Choy Stephen

24 May 2001

The Securities and Futures Commission (SFC) announced today that it had suspended the registration of Mr Ng Kei Choy, Stephen (Ng), a registered securities dealer under the Securities Ordinance (SO) accredited to Sun Growth Securities Limited as its dealing director, for a period of two weeks.

The suspension stemmed from an inquiry under section 56 of the SO which revealed that Ng had, in the opening and operation of some clients' accounts, failed to take all reasonable steps to establish the full and true identity of these clients, allowed the accounts to be operated by third parties without proper authorization, and accommodated trading in the shares of a listed company through these accounts which was potentially improper.

The SFC considers that the above matters impugned Ng's fitness and properness as a registered person and decided to suspend his registration. In deciding this course of action the SFC has taken into account that Ng has been very co-operative with the SFC's inquiry and these matters happened more than two years ago.

Page last updated : 1 Aug 2012

## 證監會暫時吊銷吳其材的註冊

2001年5月24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，並隸屬於志昇證券有限公司作為該公司交易董事的證券交易商吳其材（吳氏）的註冊，為期兩星期。

證監會的行動源自一宗根據《證券條例》第56條進行的查訊，當中發現吳氏在開立及操作若干客戶的帳戶時，未有採取一切合理的步驟來確立這些客戶的全部和真實的身分，並准許第三者在未取得適當授權的情況下操作上述帳戶，以及利便有關人士透過上述帳戶買賣一家上市公司的股份，而該等交易可能屬於不當交易。

證監會認為上述事件使人質疑吳氏是否適宜作為註冊人，因此決定暫時吊銷其註冊。證監會在決定採取上述行動時，已顧及到吳氏在本會的查訊當中表現得十分合作，而有關事件亦已發生於兩年多之前。

最後更新日期：2012年8月1日