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SFC Revokes the Registration of Ms Chan Choi Ha Wendy, a Dealer's Representative under the Securities Ordinance

6 Dec 2001

The Securities and Futures Commission (SFC) announced today that it had revoked the registration of Ms Chan Choi Ha Wendy (Chan), a dealer's representative under the Securities Ordinance.

Following an investigation, the SFC found that Chan, during the period June 1998 to December 2000, whilst employed by Sharegain Development Limited (Sharegain), had misappropriated clients' assets, including both cash and securities, by conducting unauthorized trading in clients' accounts and misled clients as to the state of their accounts by falsifying their statements of account.

Chan's conduct was serious as it resulted in substantial losses to both Sharegain and its clients. The SFC concluded that Chan was guilty of misconduct and her fitness and properness has been seriously impugned. The SFC therefore decided to revoke her registration.

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證監會撤銷陳彩霞根據《證券條例》取得的交易商代表的註冊

2001年12月6日

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

證監會經調查後,發現陳氏在1998年6月至2000年12月受僱於順靈發展有限公司(順靈)期間,曾透過客戶的帳戶進行未經授權的交易,藉此挪用客戶的現金及證券資產。陳氏更捏改客戶的帳戶結單,以誤導有關客戶其帳戶的實情。

陳氏的行為十分嚴重,亦導致順靈及其客戶損失甚大。證監會認為陳氏行為失當,亦嚴重質疑其作為適當人選的資格。因此,決定撤銷陳氏的註冊。

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