

## SFC Reprimands Ms Cheung Yuk Ling Iva

20 Dec 2001

- The SFC announced today that it has reprimanded Ms Cheung Yuk Ling Iva (Cheung), a dealer's representative and securities margin financier's representative registered under the Securities Ordinance. The reprimand follows an inquiry covering the period from December 2000 to February 2001 which revealed that Cheung had:

- provided false and misleading information to a client on several occasions regarding the details of a transaction; and
- failed to ensure that orders placed by her clients by telephone were recorded in her employer's telephone recording system.

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

An SFC spokesman said, "A registered person in conducting its business activities should act honestly, fairly and in the best interests of its clients and the integrity of the market. Where a registered person advises or acts on behalf of a client, it must ensure that representations made and information provided to the client are accurate and not misleading. Where order instructions are received by clients through the telephone, a registered person should use a telephone recording system to record the instructions and should keep the telephone records for at least three months. Failure to comply with these requirements will be regarded seriously by the SFC."

## 證監會譴責張玉玲

2001年12月20日

- 證監會今天公布，本會已譴責根據《證券條例》註冊為交易商代表及證券保證金融資人代表的張玉玲（張氏）。上述譴責源自證監會一宗涵蓋2000年12月至2001年2月的查訊，當中發現張氏曾：
  - 數次就某項交易的詳情向一名客戶提供虛假及誤導性資料；及
  - 未有確保其客戶透過電話發出的買賣指示已記錄在其僱主的電話錄音系統內。證監會認為張氏行為失當，並使人質疑其作為註冊人的適當人選資格。

證監會發言人表示：“註冊人進行業務活動時，必須以誠實和公平的手法行事，並須顧及客戶的最佳利益和確保市場持正操作。註冊人向客戶提供意見或代表客戶行事時，必須確保向客戶所作的陳述及所提供的資料是準確的和沒有誤導成分。若註冊人透過電話接收客戶的買賣指示，應利用電話錄音系統加以記錄，並保留該等電話錄音最少3個月。證監會將嚴厲對待未有遵循上述規定的註冊人。”

最後更新日期：2012年8月1日