

## SFC Revokes Tam Hau Lok for Lacking in Financial Integrity

20 Sep 2002

The Securities and Futures Commission announces today that it has revoked the dealer's representative registration of Mr Tam Hau Lok.

The action follows an inquiry into Tam's conduct which revealed that Tam:

- had failed to honour cheques he issued to a client;
- had failed to comply with an order made by the Small Claims Tribunal; and
- was continually in debt to other people.

The SFC concluded that these matters raised serious concerns about Tam's financial status and integrity. They also called into question Tam's fitness and properness to remain registered. The SFC therefore decided to revoke Tam's registration.

Mr Alan Linning, the SFC's Executive Director of Enforcement, said: "Financial integrity is one of the most important requirements that a registered person must meet to remain fit and proper to be registered. Excessive debt exposes a person to great temptations. A registered person must ensure that his financial integrity is beyond doubt at all times so as not to expose his clients to unnecessary financial risks. We will take appropriate action against licensees who do not honour their financial obligations."

Tam was a securities dealer's representative accredited to Dashin Securities Limited

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## 證監會因譚孝樂財政不穩而撤銷其註冊

2002年9月20日

證券及期貨事務監察委員會今天公布，本會已撤銷交易商代表譚孝樂的註冊。

上述行動源自證監會對譚氏的操守所進行的查訊，當中發現譚氏：

- 向一名客戶開出的支票未能兌現；
- 未有遵守小額錢債審裁處發出的命令；及
- 持續欠債。

證監會認為上述情況使人嚴重關注到譚氏的財政狀況及穩健性，而其繼續作為註冊人的適當人選資格亦受到質疑。因此，證監會決定撤銷譚氏的註冊。

證監會法規執行部執行董事李顯能表示：“財政穩健性是註冊人維持其適當人選資格必須符合的其中一項最重要的要求。債台高築者將需抵受極大的誘惑。註冊人必須確保其財政狀況在所有時候均屬穩健，以免其客戶需因此承受不必要的財務風險。我們將會對未有履行財政責任的持牌人採取適當行動。”

譚氏曾是隸屬於大信證券有限公司的證券交易商代表。

最後更新日期：2012年8月1日