

Public Statement on Mr Leung Wai Shing

15 Sep 2005

The SFC today makes the following statement regarding Mr Leung Wai Shing. Leung was registered as a dealer's representative under the Securities Ordinance (repealed) in March 1999. He left the securities industry in March 2002 before the SFC concluded a disciplinary action on his misconduct as follows:

Leung admitted to the SFC that while he was a dealer's representative from December 2000 to February 2002, he had failed to:-

- inquire into questionable trades placed in his clients' accounts; and
- keep proper recording of his clients' orders.

The SFC takes the view that Leung's conduct has impugned his fitness and properness to be a licensed person. Leung expressed regret for his misconduct and consented to the publication of this statement by the SFC.

In deciding on this course of action, the SFC has taken into consideration that Leung has been out of the securities industry for more than three years, his remorse about his misconduct and co-operation with the SFC in frankly admitting to the incidents of concern (Note 1).

Licensed persons are reminded to act in the best interest of their clients and the integrity of the market. These are essential for the protection of investors and to ensure that investors are dealing with honest and effective licensed persons.

Ends

Note:

1. Leung is currently re-applying for a licence.

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有關梁偉成的公開聲明

2005年9月15日

證監會今天就梁偉成(男)作出以下聲明。梁在1999年3月根據《證券條例》(已廢除)獲註冊為交易商代表。他在2002年3月即證監會就其以下失當行為完成作出紀律處分行動之前離開證券行業：

梁向證監會承認，其在2000年12月至2002年2月出任交易商代表期間，未有：-

- 就在其客戶帳戶內落盤進行的可疑交易作出查詢；及
- 備存有關其客戶買賣盤的妥善紀錄。

證監會認為，梁的行為已令其出任持牌人的適當人選資格受到質疑。梁對其失當行為感到悔意，並同意證監會公開發表本聲明。

證監會在決定採取上述行動時，已顧及到梁已經有超過三年沒有從事證券行業、已對其失當行為表示悔意，以及在坦白承認引致關注的有關事件一事上，與證監會充分合作(註1)。

證監會提醒持牌人必須以客戶的最佳利益行事及盡量維護市場的廉潔穩健。這些原則對於保障投資者權益至為關鍵，同時亦可確保投資者是與誠實和稱職的持牌人進行交易。

完

備註：

1. 梁目前正在重新申請牌照。

最後更新日期：2012年8月1日