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SFC Bans Shih Helen

3 Jan 2007

The SFC has banned Ms Shih Helen, a former representative of FB Gemini Securities Limited, from re-entering the industry for one month from 3 January to 2 February 2007 (Note 1).

An SFC investigation found that Shih failed to:

- record clients' orders in FB Gemini's telephone recording system and time-stamp the trade tickets properly; and
- witness six clients' signatures and verify their identification documents as required by FB Gemini's internal policy.

In determining the penalty, the SFC has taken into account that Shih had no previous disciplinary history and a bankruptcy order was made against her in August 2006.

Ends

Notes:

1. Shih was licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) regulated activity. The licence of Shih was revoked in May 2006 when she ceased to be employed by FB Gemini. She is currently not a licensed person.

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