

SFC Suspends Chow Yin Ling

30 Mar 2007

The SFC has suspended Ms Chow Yin Ling for four months from 30 March to 29 July 2007 for concealing from her employer, Excalibur Securities Limited, personal trading in her daughter's account at Excalibur, and failing to disclose the account was held in her daughter's name (Note 1).

An SFC investigation found that between 18 October and 2 November 2005, Chow had, through her daughter's account at Excalibur, conducted intra-day short selling transactions involving two derivative warrants. Chow was convicted of short selling on 22 June 2006 (Note 2).

In deciding the disciplinary penalty, the SFC has taken into account Chow's co-operation and consent to the SFC's decision.

Ends

Notes:

1. Chow is a representative licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) and Type 2 (dealing in futures contracts) regulated activities, and accredited to Excalibur Securities Limited and Excalibur Futures Limited.

2. Please see [SFC press release](#) dated 22 June 2006.