

SFC Suspends Chan Mo Chun Christina

24 Aug 2007

The SFC has suspended Ms Chan Mo Chun Christina for three months from 24 August to 23 November 2007 (Note 1).

The SFC found that Chan conducted discretionary trading for a client without obtaining written authorisation and contrary to her client's will, Chan bought derivative warrants for the client. Chan's unauthorised trading caused her client to suffer losses totalling \$23,805.

In considering the penalty, the SFC has taken into account all the circumstances of the case, including Chan's clean disciplinary record.

Ends

Notes:

1. Chan is a licensed representative accredited to Hing Wai Allied Securities Limited to carry on Type 1 (dealing in securities) regulated activity.