

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [Enforcement news](#)

SFC Reprimands and Fines Ng Tak Lin Fanny

24 Dec 2007

The SFC has issued a reprimand to Ms Ng Tak Lin Fanny and fined her \$75,000 (Note 1).

The action follows an SFC investigation which revealed that Ng failed to take reasonable steps to verify that certain orders to purchase shares of a newly listed company had in fact come from her clients. The SFC found that a third party had given the orders without authorisation by those clients.

The SFC's decision has taken into account Ng's co-operation.

Ends

Notes:

1. Ng is licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) regulated activity. She is currently accredited to Kaiser Securities Limited.

Page last updated : 1 Aug 2012