

SFC suspends licence of Ng Shui King

23 Jun 2009

The Securities and Futures Commission (SFC) has suspended the licence of Ms Ng Shui King for two years and six months from 23 June 2009 to 22 December 2011 (Note 1).

The disciplinary action follows an SFC investigation that found Ng, who was employed as an account executive by Henyep Securities Ltd, helped an unlicensed person to deal in securities for a number of Henyep Securities' clients. Ng received instructions from the unlicensed person without proper authorisation from the clients concerned and failed to comply with Henyep Securities' account-opening procedures.

The SFC is liaising with the Hong Kong Police who are investigating the case.

End

Note:

1. Ng is licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) regulated activity and was accredited to Henyep Securities Ltd. Currently, Ng is not accredited to any licensed corporation.

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