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## SFC bans Emily Hui Chui Yiu from re-entering the industry

16 Mar 2010

The Securities and Futures Commission (SFC) has banned Ms Emily Hui Chui Yiu, formerly a licensed representative of Sarasin Rabo Investment Management Ltd, from re-entering the industry for two years from 15 March 2010 to 14 March 2012 (Note 1).

The disciplinary action follows an SFC investigation that found in 2008 Hui had:

- effected transactions in two clients' accounts on a discretionary basis without obtaining any written authorization from the clients; and
- effected two unauthorized transactions in a client account notwithstanding the client's clear instructions not to do so.

In deciding the disciplinary sanction, the SFC took into account all circumstances, including Hui's admission and clear record.

End

Note:

1. Hui is licensed to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities. She was accredited to Sarasin Rabo Investment Management Ltd at the material time. She is currently not accredited to any licensed corporation.

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