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SFC bans former bank employee for forgery

11 Oct 2012

The Securities and Futures Commission (SFC) has banned Ms Chu Lai Sze, a former employee of Dah Sing Bank, Limited, from re-entering the industry for three years from 11 October 2012 to 10 October 2015 (Note 1).

This decision follows Chu's conviction for forging a customer's signature on documents relating to the purchase of a Minibond product on 30 April 2008 while she was working for the bank (Note 2).

Dah Sing Bank has compensated the affected customer.

The SFC's decision took into account that forgery is a serious and dishonest act and that Chu's act was an isolated incident.

The case was referred to the SFC by the Hong Kong Monetary Authority (HKMA) following investigation.

End

Notes:

1. Chu was a relevant individual engaged by Dah Sing Bank at the material time to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance. Chu is currently not registered with the HKMA or licensed by the SFC.
2. Chu was sentenced to four months of imprisonment after pleading guilty to one count of forgery at the Eastern Magistracy on 21 June 2010. The sentence was subsequently overturned on appeal to the Court of First Instance and she was ordered to perform 200 hours of community service.

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證監會因前銀行僱員觸犯偽造罪而禁止其重投業界

2012年10月11日

證券及期貨事務監察委員會（證監會）禁止大新銀行有限公司（大新銀行）前僱員朱麗詩（女）重投業界，為期三年，由2012年10月11日起至2015年10月10日止（註1）。

是項決定源自朱被裁定於2008年4月30日任職大新銀行期間，在有關購買迷你債券產品的文件上偽冒一名客戶簽名（註2）。

大新銀行已向受影響客戶作出賠償。

證監會在作出決定時已考慮到偽造是嚴重和不誠實的行為，以及朱的行為屬單一事件。

本個案由香港金融管理局（金管局）在作出調查後轉介證監會跟進。

完

備註：

1. 於關鍵時間，朱是獲大新銀行聘用，以根據《證券及期貨條例》進行第1類（證券交易）及第4類（就證券提供意見）受規管活動的有關人士。朱目前沒有名列於金管局的紀錄冊，亦沒有獲發證監會的牌照。
2. 朱於2010年6月21日在東區裁判法院承認一項偽造罪，被判處監禁四個月。該項判刑其後於朱向原訟法庭提出上訴時被推翻，結果被判200小時社會服務令。

最後更新日期：2012年10月11日