

## Licence applicant banned for giving false information to SFC

14 Feb 2013

The Securities and Futures Commission (SFC) has banned Mr Kuo Shou Min, a former licensed representative, from re-entering the industry for nine months from 6 February 2013 to 5 November 2013 (Note 1).

The SFC found that Kuo had failed to disclose the disciplinary action taken against him by the Securities and Futures Bureau of Taiwan (SFB) in his licence application to the SFC (Note 2).

End

Notes:

1. Kuo was a licensed representative to carry on Type 4 (advising on securities) and Type 9 (asset management) regulated activities accredited with SinoPac Asset Management Asia Limited from 13 April 2010 to 14 March 2012.
2. The SFB suspended Kuo for three months in 2005 for breaching Taiwanese investment fund regulations.

Page last updated : 14 Feb 2013