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SFC bans Lo Hoi Luen for life

6 Feb 2014

The Securities and Futures Commission (SFC) has banned Ms Lo Hoi Luen, a former employee of American Express Bank Limited, from re-entering the industry for life (Note 1).

On 8 February 2010, the District Court sentenced Lo to imprisonment of 18 months following her conviction on 30 counts of forgery.

The court found that, between 2006 and 2008, Lo purchased 51 Callable Accrual Notes (the Notes) for a client without the client's authorization. Lo also forged her client's signature on the Product Offer Acknowledgement Letters related to the purchase of the Notes. Lo received 0.12% commission on the investment amount of each of the Notes purchased.

The SFC considers Lo not a fit and proper person as a result of her conviction.

The case was referred to the SFC by the Hong Kong Monetary Authority.

End

Notes:

1. Lo was a relevant individual engaged by American Express Bank Limited (American Express) to carry on Type 1 (dealing in securities) regulated activity under the Securities and Futures Ordinance from April 2003 to September 2008. The Hong Kong business of American Express was acquired by Standard Chartered Bank (Hong Kong) Limited in July 2008. Lo is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.
2. Please see the Reasons for Sentence (DCCC1372/2009) dated 8 February 2010 which is available on the Judiciary's website (www.judiciary.gov.hk).

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證監會終身禁止盧凱變重投業界

2014年2月6日

證券及期貨事務監察委員會（證監會）終身禁止美國運通銀行有限公司前僱員盧凱變（女）重投業界（註1）。

2010年2月8日，區域法院裁定盧30項偽造罪名成立，判處盧監禁18個月。

法院裁定，盧於2006年至2008年期間，在未經客戶授權的情況下替客戶購買51份可贖回計息票據（票據），並在與購買票據有關的產品招售確認信上冒充客戶簽名。盧就每份所購買的票據收取相等於投資金額0.12%的佣金。

鑑於盧被定罪，證監會認為她並非獲發牌的適當人選。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 盧於2003年4月至2008年9月期間是受聘於美國運通銀行有限公司（美國運通）進行《證券及期貨條例》下第1類（證券交易）受規管活動的有關人士。美國運通的香港業務於2008年7月被渣打銀行（香港）有限公司收購。盧現時沒有名列於香港金融管理局的紀錄冊，亦並非證監會持牌人。
2. 請參閱司法機構網站（www.judiciary.gov.hk）所載日期為2010年2月8日的《判刑理由書》（DCCC1372/2009）。

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