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SFC Revokes Registration of Koon Yee Poon

15 May 1998

The Securities and Futures Commission announced today that it has revoked the registration of Mr Koon Yee Poon (Koon) as a securities dealer's representative and commodities dealer's representative with effect from 15 May 1998.

The SFC action resulted from an investigation covering the period 1 January 1992 to 4 March 1998 whilst Koon was employed as a dealer's representative of Okachi Investments (Hong Kong) Company Limited and a commodities dealer's representative of Okachi (Hong Kong) Company Limited.

During the investigation, it was found that Koon had utilised the margin account of a client of Okachi without her authority to book his own loss-making trades. To cover such losses, he then sold some of the client's shares held as collateral for margin facilities without her knowledge or consent.

Based on these findings, the SFC concluded that Koon's fitness and properness to remain registered as both a securities dealer's representative and a commodities dealer's representative had been seriously impugned. Therefore, his registrations were revoked.

For further information, please contact Bill Weeks at 2840-9289 or Kathleen Ho at 2840-9231.

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證監會撤銷管誼本的註冊資格

1998年5月15日

證券及期貨事務監察委員會今天宣布，該會已經撤銷管誼本（管氏）作為證券交易商代表及商品交易商代表的註冊資格，由1998年5月15日起生效。

證監會的行動源自一項涵蓋1992年1月1日至1998年3月4日的調查，當時管氏仍在岡地投資（香港）有限公司受僱為證券交易商代表，並在岡地（香港）有限公司受僱為商品交易商代表。

調查發現，管氏曾未經岡地一名客戶授權，將其本人的虧蝕買賣記入該客戶的保證金賬戶。而為了隱藏有關虧蝕，管氏在該客戶不知情或未取得其同意的情況下，出售該客戶存放在該保證金賬戶中以作抵押的部分股份。

根據上述調查結果，證監會認為管氏繼續註冊為證券交易商代表及商品交易商代表的適當人選資格已受到嚴重質疑。因此，決定撤銷管氏的註冊資格。

如有進一步查詢，請致電與韋克志（2840 - 9289）或賀曾愉（2840 - 9231）聯絡。

最後更新日期：2012年8月1日