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## SFC Suspends the Registration of Fu Yuen Hung, a Securities Dealer's Representative

12 Feb 1999

The Securities and Futures Commission announced today that it had suspended the registration of Mr Fu Yuen-Hung (Fu) for 10 months as a registered securities dealer's representative under the Securities Ordinance for misconduct, with effect from 1 January 1999.

The action stemmed from an investigation in which the SFC found that from May to September 1996, Fu had:

- (a) traded through an account of a relative at Solid King Securities Limited (Solid King) in direct contravention of Solid King's policy that prohibited share dealings by its employees;
- (b) used this account to conduct trades in a manner which advantaged himself over other clients of Solid King.

Page last updated : 1 Aug 2012

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## 證監會暫時吊銷傅元雄作為證券交易商代表的註冊資格

1999年2月12日

證券及期貨事務監察委員會今天公布，該會以傅元雄(傅氏)犯有失當行為為理由，暫時吊銷傅氏的證券交易商代表註冊，為期10個月，由1999年1月1日生效。

證監會的行動源自一宗調查。該宗調查發現傅氏在1996年5月至9月期間：

(a) 透過一名親屬在堅固證券有限公司(堅固)開立的戶口進行買賣，直接違反堅固禁止其僱員進行股份買賣的政策；

(b) 利用該戶口進行買賣的手法令其本人在有損堅固的客戶利益的情況下得益。

最後更新日期：2012年8月1日