

SFC Revokes the Registration of Mr Leung Sing Hoi

20 Sep 1999

The Securities and Futures Commission (SFC) announced today that it had revoked the registration of Mr Leung Sing Hoi (Leung) as a dealer's representative for misconduct effective 17 September 1999.

The action arose from an inquiry covering the period 3 December 1997 to 9 October 1998 when Leung was a dealer's representative of Mr Fu Yum Kuen, Jorge Alberto, trading as J A Fu & Co (JAF), where he is no longer employed. The investigation found that Leung had, during that period:

- misapplied the funds entrusted with him by a client to settle her trades with JAF;
- traded in the assets of another client without that client's authorisation and prepared statements of accounts for that client that he knew did not accurately reflect that client's position; and
- as a result of the above trading, he caused losses to the above clients.

The SFC concluded that Leung was guilty of misconduct and his fitness and properness to remain registered was seriously impugned. He had seriously abused the trust placed in him by his clients. The SFC therefore decided to revoke Leung's registration.

A SFC spokesman, commenting on the case, said "registered persons should act honestly, fairly, and in the best interest of his clients and the integrity of the markets. Any registered person who abuses the trust placed in him by clients is not a fit and proper person to be registered."

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證監會撤銷梁聖海的註冊

1999年9月20日

證券及期貨事務監察委員會(證監會)今天宣布,本會因為梁聖海(梁氏)行為失當,已撤銷其作為交易商代表的註冊,由1999年9月17日起生效。

有關的紀律處分行動源於證監會一項涵蓋1997年12月3日至1998年10月9日期間的事宜的查訊。梁氏在上述期間,出任傅蔭權(以傅蔭權股票公司名義經營業務)的交易商代表。梁氏現時已不再受僱於該公司。證監會的調查發現,梁氏在上述期間曾經:

- 不適當地以一名客戶交託予他的款項,來交收該名客戶在傅蔭權股票公司的交易;
- 在沒有獲得另一名客戶的授權的情況下,就該客戶的資產進行買賣,並替該客戶擬備梁氏本人明知不足以準確地反映該客戶的買賣情況的帳戶結單;
- 因為以上交易而導致上述客戶蒙受損失。

證監會認為梁氏犯有失當行為,使人嚴重地質疑其是否適宜繼續獲准註冊。由於梁氏濫用客戶對他的信任,證監會決定撤銷他的註冊。

證監會發言人評論有關事件時表示:"註冊人應該誠實地、公平地行事及盡量照顧客戶的利益,並確保證券市場持正操作。任何註冊人如濫用客戶對他的信任,便不適宜獲准註冊。"

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