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## Enforcement News

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12 July 2001

### **SFC Suspends the Registrations of Mr Poon Pong Wah, a Dealer's Representative under the Securities Ordinance and the Commodities Trading Ordinance**

The Securities and Futures Commission (SFC) announced today that it had suspended the registrations of Mr Poon Pong Wah (Poon), a dealer's representative both under the Securities Ordinance and the Commodities Trading Ordinance, for a period of 30 months.

The action stemmed from an inquiry covering the period May 1996 to April 1998 when Poon was a dealer's representative of Emperor Securities Limited (ESL) and Emperor Futures Limited (EFL). The inquiry found that:

- Poon without the knowledge or authority of an ex-colleague, used a copy of that ex-colleague's identity card and forged the ex-colleague's signature on ESL's account opening documents thereby inducing ESL to open an account with it in the name of that ex-colleague in order that he could conduct his own trading through that account; and
- Poon used that account and another account in the name of his wife to conduct his own trading without informing ESL. The trading in these two accounts enabled him to increase the amount of commission paid to him by ESL.

Poon had since left ESL and EFL.

The SFC concluded that Poon's conduct seriously impugned his fitness and properness. In deciding to suspend his registrations, the SFC had taken into consideration that the trading involved was not substantial, no client had suffered any loss, the events occurred some considerable time ago and that Poon was cooperative during the SFC's inquiry.

Page last updated: 20 June 2007

## 證監會暫時吊銷潘邦樺根據《證券條例》及《商品交易條例》註冊為交易商代表的資格

2001年7月12日

證券及期貨事務監察委員會（證監會）今天公布，本會已暫時吊銷潘邦樺（潘氏）根據《證券條例》及《商品交易條例》註冊為交易商代表的資格，為期30個月。

證監會的行動源自一項涵蓋1996年5月至1998年4月的查訊，當時潘氏是英皇證券(香港)有限公司(英皇證券)及英皇期貨有限公司(英皇期貨)的交易商代表。該項查訊發現：

- 潘氏在一名舊同事不知情或未獲其授權的情況下，使用該名舊同事的身份證副本，並在英皇證券的開戶文作上偽冒其簽名，誘使英皇證券接納以該名舊同事的名義開立帳戶，從而使潘氏得以透過該帳戶進行自己的買賣；及
- 潘氏透過該帳戶及另一個以其妻子名義開立的帳戶進行自己的買賣，但未有知會英皇證券。潘氏透過這兩個帳戶進行買賣，以增加從英皇證券收取的佣金。其後，潘氏已不再受聘於英皇證券及英皇期貨。

證監會認為潘氏的行為使人極為質疑潘氏是否適宜繼續獲准註冊。證監會在決定暫時吊銷其註冊時，已考慮到所涉及的交易數額不大、未有客戶曾蒙受任何虧損、有關事宜已發生了一段日子，以及在證監會的查訊過程中，潘氏表現得十分合作。

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