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SFC Suspends the Registrations of Ms Wong Bo Chu, a Dealer's Representative Under the Commodities Trading Ordinance and the Securities Ordinance

20 Jul 2001

The Securities and Futures Commission (SFC) announced that it had suspended the registrations of Ms Wong Bo Chu (Wong), a dealer's representative registered under both the Commodities Trading Ordinance (CTO) and the Securities Ordinance (SO), for a period of six months.

The SFC's action stemmed from an inquiry covering the period from early January 2000 to June 2000 (the relevant period) when Wong was a dealer's representative of Celestial Commodities Limited (CCL) and Celestial Securities Limited (CSL). The inquiry found that during the relevant period Wong without the knowledge or consent of CCL, used CCL's facilities to trade in black market Hang Seng Index Futures Contracts (黑市恒生指數期貨) for two persons. The trading involved betting on the movements of the Hang Seng Index.

Wong had since left CCL and CSL.

As a result the SFC concluded that Wong's fitness and properness had been impugned and decided to suspend both her registrations under the CTO and SO.

In considering the penalty the SFC has taken into account the following matters:

- she had been out of the industry for a total of nine months following the events; and
- she had been cooperative throughout the SFC's inquiry.

The SFC strongly advises the investing public to refrain from trading in this kind of product as it is not traded on a recognised exchange and lacks the protection afforded under the existing laws should problems arise.

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證監會暫時吊銷黃寶珠根據《商品交易條例》及《證券條例》註冊為交易商代表的資格

2001年7月20日

證券及期貨事務監察委員會（證監會）公布，本會已暫時吊銷黃寶珠(黃氏)根據《商品交易條例》及《證券條例》註冊為交易商代表的資格，為期6個月。

證監會的行動源自一宗涵蓋2000年1月初至2000年6月(有關期間)的查訊，當時黃氏是時富商品有限公司(時富商品)及時富證券有限公司(時富證券)的交易商代表。本會在該項查訊當中發現於有關期間內，黃氏在時富商品並不知情或未取得時富商品的同意的情況下，利用時富商品的設施，替兩名人士買賣黑市恆生指數期貨。有關交易涉及就恆生指數的走勢進行對賭。

其後，黃氏已離開時富商品及時富證券。

因此，證監會認為黃氏的行為使人質疑其是否適宜作為註冊人，並決定暫時吊銷其根據《商品交易條例》及《證券條例》取得的註冊資格。

證監會在考慮作出有關行動時，已顧及到以下因素：

- 黃氏在事發後已沒有從事有關行業達9個月之久；及
- 黃氏在證監會的查訊中一直保持合作態度。

證監會再三敦促投資大眾切勿買賣上述金融產品，因為這些產品並非在認可的交易所買賣。若有任何問題發生，買賣上述產品的人士將不受目前的法例保障。

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