

SFC Revokes the Registrations of Ms Lai Wai Fong

24 Jul 2001

The Securities and Futures Commission (SFC) announced today that it had revoked the registrations of Ms Lai Wai Fong (Lai), a dealer's representative under the Securities Ordinance (SO) and the Commodities Trading Ordinance (CTO).

The action followed inquiries conducted under section 56 of the SO and section 36 of the CTO which revealed that Lai, whilst employed as a dealer's representative of Phillip Securities (HK) Limited, had effected a number of transactions in five of her client's accounts without their respective authority. According to a SFC spokesman, "Lai's conduct struck at the very heart of her integrity as a registered dealer's representative. In addition to having abused the trust placed in her by the clients, for whom's interests she was responsible, she had also exposed her employer to considerable financial risk. As a result, the SFC concluded that Lai was guilty of serious misconduct and her fitness and properness had been seriously impugned. The SFC therefore decided to revoke her registrations."

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證監會撤銷黎惠芳的註冊

2001年7月24日

證券及期貨事務監察委員會（證監會）今天公布，本會已撤銷黎惠芳（黎氏）根據《證券條例》及《商品交易條例》取得的交易商代表的註冊。

證監會在根據《證券條例》第 56 條及《商品交易條例》第 36 條進行查訊後採取上述行動。查訊當中發現黎氏在受僱於輝立證券（香港）有限公司為交易商代表期間，在並未獲得有關客戶授權的情況下，透過其 5 名客戶的帳戶進行若干宗買賣。證監會發言人表示：“黎氏的行為正正打擊其作為註冊交易商代表必須持正行事的原則。黎氏本應維護其客戶的利益，但其行為卻有違他們對她的信任。此外，黎氏亦使其僱主蒙受頗大的財務風險。本會因此認為黎氏的行為嚴重失當，並使人極為質疑其是否適宜獲得註冊資格。因此，證監會決定撤銷黎氏的註冊。”

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