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SFC Suspends Registration of Dealer's Representatives

19 Feb 1997

The Securities and Futures Commission ("SFC") announced that it today suspended the registration of Mr Lui Kam-ming ("Lui") and Mr Tang Kwok-leung ("Tang") as securities dealer's representatives for a period of nine months and twelve months respectively. The suspensions related to their participation in trading malpractices which disadvantaged their principal's clients and jeopardized the interests of the investing public. Lui's registration as a commodity dealer's representative was concurrently suspended for nine months as results of this misconduct.

The SFC's action stemmed from an investigation covering a period from late 1992 to March 1994 ("the period"), during which time Lui and Tang worked as floor traders for three securities dealers. It was found that they had traded through a nominee account at Wah Hing Securities Limited and that both profited from their trading malpractices. As a result, the SFC decided that Lui and Tang were guilty of misconduct and suspended their registrations. The periods of suspension took into account the amount of profit derived from the trading malpractices and their cooperation during the investigation.

Page last updated : 1 Aug 2012

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證監會暫時吊銷交易商代表的註冊資格

1997年2月19日

證券及期貨事務監察委員會（“證監會”）宣布，該會由今天起暫時吊銷呂錦明（“呂氏”）及鄧國良（“鄧氏”）的證券交易商代表的註冊資格，分別為期9個月及12個月，理由是他們進行不正當交易，使他們僱主的客戶的利益受損，亦危害投資大眾的利益。呂氏的商品交易商代表的註冊資格，也基於其不當行為而同時遭吊銷9個月。

證監會是就1992年底至1994年3月期間（“該期間”）身為三家證券交易商的出市代表的呂氏及鄧氏的活動展開調查後，才採取上述行動。調查發現他們利用在華興證券有限公司開設的代理人賬戶進行不正當交易，從中圖利。證監會最後裁定呂氏及鄧氏行為不當，決定暫時吊銷他們的註冊資格。證監會在決定他們的註冊資格應予以暫時吊銷多久時，已顧及二人從不當交易所賺取的金額，以及他們在調查期間的合作態度。

如有任何查詢，請致電(2840-9287)與韋克志或陳志強聯絡。

最後更新日期：2012年8月1日