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SFC Suspends the Registration of Ms Hui Shan Shan, a Dealer's Representative under the Securities Ordinance

10 Feb 2000

The Securities and Futures Commission (SFC) announced today that it had suspended the registration of Ms Hui Shan Shan (Hui), a dealer's representative under the Securities Ordinance (SO), for four months effective from 10 February 2000.

The action stemmed from an inquiry covering the period 22 June 1998 to 28 July 1998 during which Hui was employed by Core Pacific-Yamaichi International (HK) Limited (CPYI) and Core Pacific-Yamaichi Securities (HK) Limited (CPYS). She has since left their employment.

The Commission found that Hui had, in a share placement, given assurances to her clients about the future price of the stock which were without foundation and were not the subject of proper analysis. The Commission considered that Hui had been reckless in her recommendations to clients and had therefore not acted in the best interests of clients and without proper regard to the integrity of the markets.

The SFC also found that Hui's conduct occurred whilst her application for registration as a dealer's representative accredited to CPYI was awaiting approval by the SFC.

As a result of the above findings, the SFC concluded that Hui's conduct seriously impugned her fitness and properness and decided to suspend her registration for four months. In deciding on the period of suspension the SFC took into account that Hui had been out of the securities industry since the end of May 1999.

A SFC's spokesman, commenting on the case said that "in recommending investment opportunities to clients, registered persons must ensure that such advice is only given after careful consideration and based on proper analysis. It is unacceptable conduct for a registered person to make recommendations or promises as to future performance without any proper basis. Any registered person who fails to meet such standards can expect the SFC to view his conduct most seriously."

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證監會暫時吊銷根據《證券條例》註冊為交易商代表的許珊珊的註冊

2000年2月10日

證券及期貨事務監察委員會(證監會)今天公布,本會已暫時吊銷根據《證券條例》註冊為交易商代表的許珊珊(許氏)的註冊,為期4個月,由2000年2月10日起生效。

這項行動源自證監會一宗涵蓋1998年6月22日至1998年7月28日期間的查訊。在該段期間,許氏為京華山一國際(香港)有限公司(京華山一國際)及京華山一證券(香港)有限公司(京華山一證券)的僱員。其後,許氏已經離職。

證監會在該項查訊中發現許氏在一次股份配售中,就該股份日後的價格向客戶提供保證,而有關保證是毫無根據或未經過適當的分析。證監會認為許氏罔顧後果地向客戶作出推薦,因而未有按照客戶的最佳利益行事及未有適當地顧及證券市場的持正操作。

證監會亦發現許氏在作出上述行為時,許氏仍在等候證監會就其申請將交易商代表的註冊轉為隸屬京華山一證券的審批結果。

根據上述查訊結果,證監會認為許氏的行為使人嚴重質疑其是否適宜作為註冊人士,因而決定暫時吊銷其註冊4個月。在決定其註冊應暫時吊銷多久時,證監會已考慮到許氏在1999年5月底起已脫離證券行業。

證監會的發言人在評論上述事件時表示:"註冊人向客戶推薦投資機會時,必須確保該等意見經過仔細考慮及適當分析後才作出。註冊人在沒有任何適當基礎的情況

下,不應就股份日後的表現作出推薦或給予承諾。任何註冊人如未能符合上述標準,證監會將會以最嚴厲的態度來看待其行為。"

最後更新日期:2012年8月1日