

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [Enforcement news](#)

SFC Revokes the Registrations of Ao Pou Ting Surita and Wong Suet Kam

13 Apr 2000

The Securities and Futures Commission (SFC) announced today that it had revoked the registrations of Ms Ao Pou Ting Surita (Ao) and Ms Wong Suet Kam (Wong) as dealer's representatives under the Securities Ordinance.

The revocations stem from an inquiry in which the SFC found that Ao and Wong had, whilst dealer's representatives of Grand Fortune Securities & Investment Company Limited (Grand Fortune):

- used clients' securities without authority and provided documentation to clients that they knew to be false and misleading to mislead those clients as to the state of their accounts at Grand Fortune; and
- opened and operated trading accounts in clients' names without their knowledge or consent.

A SFC spokesman said that Ao's and Wong's gross abuse of their clients' trust warrants the revocation of their registrations.

Page last updated : 1 Aug 2012

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

證監會撤銷區寶婷及黃雪琴的註冊資格

2000年4月13日

證券及期貨事務監察委員會(證監會)今天宣布,本會已根據《證券條例》撤銷區寶婷(區氏)及黃雪琴(黃氏)的交易商代表註冊資格。

撤銷上述註冊資格的行動源自證監會的一宗查訊。有關查訊發現區氏及黃氏在擔任明遠證券投資有限公司(明遠)交易商代表時:

- 未得客戶授權而擅自動用客戶的證券,並向客戶提供其明知是錯誤和屬誤導性的文件,從而令客戶無法正確知悉本身在明遠所開立的賬戶的情況;及
- 在客戶不知情或未得客戶同意的情況下,以客戶的名義開立賬戶和操作該等賬戶。

證監會發言人表示,區氏及黃氏嚴重違背客戶對她們的信任,因此,撤銷其註冊資格的決定實屬恰當。

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