

SFC Suspends the Registration of Wong Suet Hung Ophelia, a Dealer's Representative under the Securities Ordinance

7 Dec 2000

The SFC announced today that it had suspended the registration of Ms Wong Suet Hung, Ophelia (Wong), a dealer's representative under the Securities Ordinance, for a period of 15 months.

The action stemmed from an inquiry in which it was found that during the period from August 1998 to December 1999, Wong, at the time a dealer's representative of Guangdong's Securities Limited (GSL), without the knowledge of GSL, opened 8 accounts for two dealer's representatives of Grand Fortune Securities Limited (Grand Fortune) in the name of clients of Grand Fortune without these clients' knowledge or authority. From the circumstances surrounding the opening and operation of these accounts the SFC concluded that Wong knew or should have known that the activities of the two dealer's representative were possibly illegal or improper.

The SFC concluded that her conduct above fell far below the standards expected of a registered person and seriously impugned her fitness and properness. In deciding to suspend her registration for 15 months, the SFC had taken into account a number of matters including:

- her co-operative attitude throughout the inquiry;
- she had not derived any personal gains from the trading; and
- she had voluntarily resigned from GSL in May 2000 and had been out of the industry since that date.

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證監會暫時吊銷黃雪紅根據《證券條例》獲得的交易商代表註冊資格

2000年12月7日

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黃雪紅（黃氏）的註冊，為期15個月。

上述行動源自證監會的一宗查訊，當中發現在1998年8月至1999年12月期間，黃氏身為粵海證券有限公司（粵海）的交易商代表，在粵海不知情的情況下，為明遠證券投資有限公司（明遠）的兩名交易商代表，在明遠的若干客戶不知情或未獲得他們授權的情況下，以該等客戶的名義開立8個帳戶。證監會根據圍繞著開立這些帳戶及其運作的環境因素，認為黃氏是知悉或應該知悉該兩名交易商代表的活動很可能是非法或不恰當的。

證監會認為黃氏的操守遠遠未能達到證監會要求註冊人應具備的水平，使人極為質疑她是否適宜繼續獲得註冊。證監會在決定吊銷黃氏的註冊15個月時，已考慮到下列因素：

- 黃氏在查訊過程中一直表現合作；
- 黃氏未有在該等交易賺取任何利潤；及
- 黃氏在2000年5月自願離開粵海，並自此已脫離證券行業。

最後更新日期：2012年8月1日