

SFC Takes Action Against Fung Suk Fan Emily

19 Jul 2001

The SFC announced today that it had publicly reprimanded Ms Fung Suk Fan Emily (Fung) a securities dealer's representative under section 56 of the Securities Ordinance (SO).

The reprimand arose from an investigation into the activities of Phillip Securities (HK) Limited's (Phillip) Shatin Branch during January and February 2000. The SFC found that a staff member of Phillip who was unregistered was permitted to take and process clients' phone orders contrary to the registration requirements of the SO.

Fung as the then Branch Manager at Shatin Branch with direct responsibility for supervising the activities of the employee had failed to ensure that the registration requirements of the SO had been complied with.

In November 2000, the employee pleaded guilty to acting as a dealer's representative during the relevant period whilst unregistered in contrary of sections 50(1) and (2) of the SO.

Page last updated : 1 Aug 2012

證監會對馮淑芬採取行動

2001年7月19日

證監會今天公布，本會已公開譴責根據《證券條例》第56條註冊為證券交易商代表的馮淑芬（馮氏）。

上述譴責行動源自一宗在2000年1月至2月期間進行，涉及輝立証券（香港）有限公司（輝立）沙田分行的活動的調查。證監會發現輝立的一名並未註冊的職員獲准接聽和處理客戶透過電話發出的買賣指示，因而違反了《證券條例》中的註冊規定。

馮氏當時是沙田分行的分行經理，直接負責監督職員的活動，但馮氏未能確保《證券條例》中有關的註冊規定獲得遵守。

上述職員已經在2000年11月承認在未取得註冊的情況下，在有關期間以交易商代表的身分行事，因而違反了《證券條例》第50(1)和(2)條的規定的控罪。

最後更新日期：2012年8月1日