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The SFC Revokes the Registration of Fung Tat Shing Frank, a Dealer's Representative under the Securities Ordinance

8 Nov 2001

The Securities and Futures Commission (SFC) announced today that it had revoked the registration of Mr Fung Tat Shing Frank (Fung), a dealer's representative under the Securities Ordinance.

Following an investigation, the SFC found that Fung, during the period May to August 2000, whilst employed by Megabase Securities Limited (Megabase) as a dealer's representative, conducted unauthorized trading through one client's account resulting in loss to that client; and in two other accounts, Fung had traded in them without written authorization, contrary to Megabase's internal policy.

Fung's conduct was serious as it resulted in loss to a client of Megabase and exposed Megabase to unnecessary financial risks. The SFC concluded that Fung was guilty of misconduct and his fitness and properness has been seriously impugned. The SFC therefore decided to revoke his registration.

Page last updated : 1 Aug 2012

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證監會撤銷馮達勝根據《證券條例》取得的交易商代表的註冊

2001年11月8日

證券及期貨事務監察委員會（證監會）今天公布，本會已撤銷馮達勝（馮氏）根據《證券條例》取得的交易商代表的註冊。

證監會在一宗調查中發現，在2000年5月至8月，馮氏受僱為萬達基證券有限公司（萬達基）的交易商代表的期間，馮氏曾經在一名客戶的帳戶進行未經授權交易，因而使該客戶蒙受損失。此外，馮氏亦在未取得另外兩名客戶的書面授權的情況下，透過該等帳戶進行交易，違反了萬達基的內部政策。

馮氏的行為導致萬達基的一名客戶蒙受損失及使萬達基承擔不必要的財務風險，因此是十分嚴重的。證監會認為馮氏行為失當，質疑其作為交易商代表的資格，因此決定撤銷馮氏的註冊。

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