
Enforcement News

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1 March 2007

SFC Reprimands and Fines Yan Yuk Hing Liza \$30,000

The SFC has issued a reprimand to Ms Yan Yuk Hing Liza and fined her \$30,000 (Note 1).

The SFC found that between 10 and 23 April 2003, Yan received orders on her mobile phone after office hours on eight occasions from a new margin client who, at the time, did not have an established track record of settlement. None of these orders were recorded in the telephone recording system of Emperor Securities Limited. Yan failed to keep sufficiently accurate and contemporaneous written record of the client's original orders.

Ends

Notes:

1. Yan is licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) and Type 2 (dealing in futures contracts) regulated activities. She is a representative accredited to Emperor Securities Limited and Emperor Futures Limited.

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