
Enforcement News

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24 September 2009

SFC bans Aaron Ko Wai Lun from re-entering the industry for 10 years

The Securities and Futures Commission (SFC) has banned Mr Aaron Ko Wai Lun from re-entering the industry for 10 years from 24 September 2009 to 23 September 2019 following a referral by the Hong Kong Monetary Authority (HKMA) (Note 1).

On the evidence gathered by HKMA, the SFC found that Ko:

- effected two investment transactions involving over \$3.5 million in the investment account of a client at Hang Seng Bank Ltd (HSB) without the client's knowledge and authorization on 11 July 2007;
- deceived his former employer HSB by preparing and providing false information on bank documents, including two order forms for investment products and a Risk Profiling Questionnaire (RPQ), purported to have contained information about the client, all dated 11 July 2007;
- forged the signature of the client on the RPQ; and
- asked the client to lie to HSB that the client had authorized him to conduct the relevant transactions, with a view to concealing his misconduct.

As a result of Ko's wrongdoings, HSB has compensated the client by reversing the relevant transactions in the client's account.

End

Notes:

1. Ko was an individual whose name was entered in the register maintained by the HKMA under section 20 of the Banking Ordinance as a person engaged by Hang Seng Bank Ltd in respect of Type 1 (dealing in securities), Type 4 (advising on securities) and Type 7 (providing automated trading services) regulated activities.

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證監會禁止高偉倫重投業界十年

2009年9月24日

證券及期貨事務監察委員會（證監會）禁止高偉倫（男）重投業界，為期十年，由2009年9月24日至2019年9月23日止（註1）。

證監會早前接獲香港金融管理局（金管局）轉介這宗個案。根據金管局搜集的證據，證監會發現高：

- 於2007年7月11日，在恒生銀行有限公司一名客戶不知情及未獲該客戶授權的情況下，透過該客戶在恒生銀行的投資戶口進行兩宗投資交易，涉及款項超過350萬元；
- 擬備日期為2007年7月11日的銀行文件，包括兩份投資產品認購表格及一份風險狀況評估問卷，並在文件上提供虛假資料，欺騙其前僱主恒生銀行，指稱文件載有關於該客戶的資料；
- 在風險狀況評估問卷上偽冒客戶簽名；及
- 要求這名客戶向恒生銀行說謊，指客戶已授權高進行有關投資交易，藉以隱瞞高的失當行為。

恒生銀行已經因應高的不當行為，將透過這名客戶戶口進行的上述交易還原，作為賠償。

完

備註：

1. 高之前名列於金管局根據《銀行業條例》第20條備存的紀錄冊，曾受僱於恒生銀行有限公司進行第1類（證券交易）、第4類（就證券提供意見）。

最後更新日期：2012年8月1日