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SFC bans Mok Kin Hung for life

8 Jul 2013

The Securities and Futures Commission (SFC) has banned Mr Mok Kin Hung from re-entering the industry for life (Note 1).

On 11 August 2009, the Eastern Magistrates' Court sentenced Mok to imprisonment of 14 months following conviction on one count of theft.

The Court found that, in July 2009, Mok stole \$280,000 from a client bank account which he serviced at Dah Sing Bank, Limited (Dah Sing Bank) by forging the client's signature on two separate transfer slips. This resulted in an unauthorized transfer of \$280,000 from the client's bank account to Mok's own bank account at Dah Sing Bank via a third party account.

The theft was discovered by Dah Sing Bank and the stolen funds were returned to the client.

The SFC considers Mok not a fit and proper person to be licensed as a result of his conviction. In deciding the penalty, the SFC took into account that Mok's conduct was dishonest.

The case was referred to the SFC by the Hong Kong Monetary Authority.

End

Note:

1. Mok was a relevant individual engaged by Dah Sing Bank, Limited to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance from March 2008 to July 2009. Mok is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.

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證監會終身禁止莫鍵鴻重投業界

2013年7月8日

證券及期貨事務監察委員會（證監會）終身禁止莫鍵鴻（男）重投業界（註1）。

2009年8月11日，莫在東區裁判法院被裁定一項盜竊罪名成立，判處監禁14個月。

案情指莫於2009年7月任職大新銀行有限公司（大新銀行）期間，在兩張轉帳單上偽冒其客戶的簽名，從該客戶的帳戶盜取280,000元。此舉導致該客戶的銀行帳戶內的280,000元，在未獲授權的情況下透過第三方帳戶，轉帳至莫本人在大新銀行的銀行帳戶。

這宗盜竊案由大新銀行發現，被盜取的款項已退還給該客戶。

鑑於莫被定罪，證監會認為他並非獲發牌的適當人選。證監會在釐定罰則時，已考慮到莫的行為不誠實。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 在2008年3月至2009年7月期間，莫是受聘於大新銀行有限公司進行《證券及期貨條例》下第1類（證券交易）及第4類（就證券提供意見）受規管活動的有關人士。莫目前沒有於香港金融管理局註冊，亦沒有獲證監會發牌。

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