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## SFC bans Lum Yin Ling for life

21 Feb 2014

The Securities and Futures Commission (SFC) has banned Ms Lum Yin Ling from re-entering the industry for life (Note 1).

On 8 October 2013, Lum was convicted and sentenced by the Court of First Instance to imprisonment of seven years on one count of fraud.

The court found that, between April 2011 and September 2012, Lum, then a relationship manager at Credit Suisse AG Hong Kong Branch, misappropriated a total of approximately \$31 million on seven occasions from three client accounts, either by deceiving the client to obtain written instructions or by forging client signatures on relevant payment instructions (Note 2).

The SFC concluded Lum is not a fit and proper person as a result of her conviction.

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

End

Notes:

1. Between 4 April 2011 and 18 September 2012, Lum was a relevant individual engaged by Credit Suisse AG Hong Kong Branch to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance. Lum is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.
2. Please see the Reasons for Sentence (HCCC 184/2013) which is available on the Judiciary's website ([www.judiciary.gov.hk](http://www.judiciary.gov.hk)).

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## 證監會終身禁止林燕羚重投業界

2014年2月21日

證券及期貨事務監察委員會（證監會）終身禁止林燕羚（女）重投業界（註1）。

2013年10月8日，林被原訟法庭裁定一項欺詐罪名成立，判處監禁七年。

法庭裁定，在2011年4月至2012年9月期間，林曾七次騙取客戶的書面指示或在相關的付款指示上冒充客戶簽署，藉此從三個客戶帳戶挪用合共約3,100萬元。林當時是Credit Suisse AG香港辦事處的客戶關係經理（註2）。

鑑於林被定罪，證監會認為她並非獲發牌的適當人選。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 林於2011年4月4日至2012年9月18日期間是受聘於Credit Suisse AG香港辦事處根據《證券及期貨條例》進行第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。林現時沒有名列於香港金融管理局的紀錄冊，亦並非證監會持牌人。
2. 請參閱司法機構網站（[www.judiciary.gov.hk](http://www.judiciary.gov.hk)）所載的《判刑理由書》（HCCC 184/2013）。

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