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SFC bans Ko Shu Chuan for six years

15 Oct 2015

The Securities and Futures Commission (SFC) has banned Ms Ko Shu Chuan from re-entering the industry for six years from 15 October 2015 to 14 October 2021.

The disciplinary action follows an SFC investigation which found that Ko, a former vice president of DBS Bank (Hong Kong) Limited (DBSHK), fabricated a Bachelor of Economics degree certificate purportedly issued by Tamkang University in Taiwan. Ko made false representations about her academic qualifications and provided a fake degree certificate to DBSHK for the purpose of obtaining employment in 2012 (Note 1).

Ko was subsequently dismissed by DBSHK after admitting that the degree certificate was fake and that she fabricated it using her sister's certificate.

The SFC considers Ko's conduct to be plainly dishonest and it casts serious doubts on her competency, character and reliability as a licensed person.

The SFC has reported Ko's conduct to the Police.

End

Note:

1. Ko was registered as a relevant individual of DBSHK between 31 May 2012 and 27 September 2012 to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities. Ko is currently not licensed by the SFC or registered with the Hong Kong Monetary Authority.

[A copy of the Statement of Disciplinary Action is available on the SFC website](#)

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證監會禁止柯淑娟重投業界六年

2015年10月15日

證券及期貨事務監察委員會（證監會）禁止柯淑娟（女）重投業界六年，由2015年10月15日起至2021年10月14日止。

證監會經調查後採取上述紀律處分行動。該調查發現，曾經擔任星展銀行（香港）有限公司（星展香港）副總裁的柯，捏造一張據稱由台灣淡江大學發出的經濟學學士學位證書。柯在2012年就其學歷向星展香港作出虛假陳述及提供偽造的學位證書，以圖獲取星展香港聘用（註1）。

柯其後承認該學位證書為偽造及是用其胞妹的證書捏造，因此被星展香港解僱。

證監會認為柯的行為顯然不誠實，並令其作為持牌人的勝任能力、品格及可靠程度受到嚴重質疑。

證監會已向警方舉報柯的行為。

完

備註：

1. 柯在2012年5月31日至2012年9月27日期間獲註冊出任星展香港的有關人士，以進行第1類（證券交易）及第4類（就證券提供意見）受規管活動。柯現時並非證監會持牌人，亦沒有名列於香港金融管理局的紀錄冊。

[紀律處分行動聲明載於證監會網站](#)

最後更新日期：2015年10月15日

STATEMENT OF DISCIPLINARY ACTION

The Disciplinary Action

1. The Securities and Futures Commission (**SFC**) has banned Ms Ko Shu Chuan (**Ko**)¹ for a period of 6 years pursuant to section 196 of the Securities and Futures Ordinance (**SFO**).
2. The SFC found that Ko:
 - (a) fabricated a Bachelor of Economics degree certificate purportedly issued by Tamkang University in Taiwan; and
 - (b) provided false representations about her academic qualifications to DBS Bank (Hong Kong) Limited (**DBSHK**) and used a fake degree certificate for the purpose of obtaining employment at DBSHK.
3. The failures identified above call into question Ko's fitness and properness to be licensed, in particular, her ability to perform her function as a licensed representative honestly, competently and reliably.

Summary of Facts

4. Ko was a Vice President of DBSHK's Institutional Banking Group. She was summarily dismissed by DBSHK as it found that she provided copies of a fake degree certificate and a fake transcript purportedly issued by Tamkang University in Taiwan (**Tamkang University**) for the purpose of obtaining employment at DBSHK.
5. The evidence shows that:
 - (a) Ko fabricated the Bachelor of Economics degree certificate purportedly issued by Tamkang University (**Certificate**). She admitted to DBSHK that the Certificate was fake and was fabricated by herself using her sister's certificate.
 - (b) Ko intentionally provided false representations about her academic qualifications to DBSHK:
 - i. she falsely represented to DBSHK that she graduated from Tamkang University with a Bachelor of Economics degree; and
 - ii. she provided a fake Certificate and a fake transcript purportedly issued by Tamkang University to DBSHK.

¹ Ko was registered as a relevant individual of DBSHK between 31 May 2012 and 27 September 2012 to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities. Ko is currently not licensed by the SFC or registered with the Hong Kong Monetary Authority.

Breaches and reasons for action

6. Section 129 of the SFO provides that, in considering whether a person is fit and proper, the SFC may consider, in addition to any other matter that the SFC may consider relevant, the person's ability to carry on the regulated activity competently, honestly and his/her character and reliability.
7. The fabrication of the Certificate and the provision of false representations about her academic qualifications to DBSHK clearly impugned Ko's honesty and has cast serious doubts on her competency, character and reliability.
8. In determining the sanction, the SFC took into account all relevant circumstances, including Ko's otherwise clean disciplinary record. The SFC also considered that a strong deterrent message was necessary to deter similar conduct.

Conclusion

9. Ko's conduct in misrepresenting her educational qualifications and fabricating and providing a fake degree certificate to her employer was plainly dishonest and call into question her fitness and properness to be a regulated person.

紀律處分行動聲明

紀律處分行動

1. 證券及期貨事務監察委員會（**證監會**）已依據《證券及期貨條例》（**該條例**）第 196 條禁止柯淑娟女士（**柯**）¹重投業界，為期六年。
2. 證監會發現柯：
 - (a) 捏造一張據稱由台灣淡江大學發出的經濟學學士學位證書；及
 - (b) 就其學歷向星展銀行（香港）有限公司（**星展香港**）提供虛假陳述，及使用偽造的學位證書，以圖獲取星展香港聘用。
3. 上文所識別出的失誤，令柯獲發牌的適當人選資格，特別是她是否有能力誠實地、稱職地及可靠地履行作為持牌代表的職能受到質疑。

事實摘要

4. 柯曾經是星展香港機構銀行部的副總裁。她其後被星展香港即時解僱，原因是她被發現提供據稱由台灣淡江大學（**淡江大學**）發出的偽造學位證書及偽造成績單的副本，以圖獲取星展香港聘用。
5. 有關證據顯示：
 - (a) 柯捏造一張據稱由淡江大學發出的經濟學學士學位證書（**證書**）。她向星展香港承認證書為偽造及是用其胞妹的證書捏造。
 - (b) 柯蓄意就其學歷向星展香港提供虛假陳述：
 - i. 她向星展香港訛稱她於淡江大學畢業，並獲頒授經濟學學士學位；及
 - ii. 她向星展香港提供據稱由淡江大學發出的偽造證書及偽造成績單。

違反規定及採取行動的理由

6. 該條例第 129 條規定，證監會在考慮某人是否適當人選時，除考慮其認為有關的任何事項外，亦可考慮該人是否有能力稱職地、誠實地進行有關的受規管活動，以及其品格及可靠程度。
7. 捏造證書及就其學歷向星展香港提供虛假陳述顯然已令到柯的誠信受到損害，並令人對其勝任能力、品格及可靠程度產生嚴重質疑。
8. 證監會在釐定罰則時已考慮到所有相關情況，包括柯並無遭受紀律處分的紀錄。證監會亦認為有需要傳達強烈且具阻嚇力的訊息，以防止類似行為。

¹ 柯在 2012 年 5 月 31 日至 2012 年 9 月 27 日期間獲註冊出任星展香港的有關人士，以進行第 1 類（證券交易）及第 4 類（就證券提供意見）受規管活動。柯現時並非證監會持牌人，亦沒有名列於香港金融管理局的紀錄冊。

結論

9. 柯就其學歷作出失實陳述及捏造並向其僱主提供偽造學位證書的行為顯然不誠實，令其擔任受規管人士的適當人選資格受到質疑。

Name of Relevant Individual	: KO, SHU CHUAN
Chinese Name of Relevant Individual	: 柯淑娟
HKMA Registration Number	: AD7704

Current Registration

Not Applicable

Business Address

Not Applicable

Conditions

Not Applicable

Registration History

HKMA Registration Number	Registered Institution	Regulated Activity	Effective Period	Is an Executive Officer? (Yes / No)
AD7704	DBS BANK (HONG KONG) LIMITED	Type 1: dealing in securities	31 May 2012 - 27 Sep 2012	No
AD7704	DBS BANK (HONG KONG) LIMITED	Type 4: advising on securities	31 May 2012 - 27 Sep 2012	No
AD7704	AUSTRALIA AND NEW ZEALAND BANKING GROUP LIMITED	Type 1: dealing in securities	03 Jul 2010 - 25 Mar 2012	No
AD7704	AUSTRALIA AND NEW ZEALAND BANKING GROUP LIMITED	Type 4: advising on securities	03 Jul 2010 - 25 Mar 2012	No
AD7704	FUBON BANK (HONG KONG) LIMITED	Type 1: dealing in securities	19 Feb 2008 - 01 May 2010	No
AD7704	FUBON BANK (HONG KONG) LIMITED	Type 4: advising on securities	19 Feb 2008 - 01 May 2010	No

Public Disciplinary Actions

Records of public disciplinary actions taken against the relevant individual by the SFC

Action Date	Action Taken	Press Release Download	
15 Oct 2015	The Securities and Futures Commission has banned Ms Ko Shu Chuan from re-entering the industry for six years from 15 October 2015 to 14 October 2021.	English	Chinese

Records of public disciplinary actions taken against the relevant individual by the HKMA

Not Applicable