

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [All news](#)

## SFC bans William Wong Yick Lok for three years

3 Oct 2016

The Securities and Futures Commission (SFC) has prohibited Mr William Wong Yick Lok, a former employee of Hang Seng Bank Limited (Hang Seng Bank), from re-entering the industry for three years from 30 September 2016 to 29 September 2019 following his conviction for forgery (Notes 1 & 2).

The Court found that Wong, who was responsible for promoting insurance policy to customers of Hang Seng Bank at the material time, forged a customer's signatures on an insurance application and a policy cancellation form without the customer's knowledge (Note 3).

The SFC considers that Wong is not a fit and proper person to be licensed or registered to carry on regulated activities as a result of his conviction.

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

End

Notes:

1. Wong was a relevant individual engaged by Hang Seng Bank to carry on Type 1 (dealing in securities) and Type 7 (providing automated trading services) regulated activities under the Securities and Futures Ordinance. Wong is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.
2. Wong was sentenced to perform community service of 140 hours at the Fanling Magistrates' Court on 10 December 2015 after his conviction for two counts of forgery under the Crimes Ordinance.
3. The affected customer had been compensated by Hang Seng Bank and received a refund of the paid premium of \$2,054 for the insurance policy.

Page last updated : 3 Oct 2016

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [所有新聞稿](#)

## 證監會禁止黃憶諾重投業界三年

2016年10月3日

證券及期貨事務監察委員會（證監會）因恒生銀行有限公司（恒生銀行）前僱員黃憶諾（男）被裁定偽造罪名成立，禁止他重投業界三年，由2016年9月30日起至2019年9月29日止（註1及2）。

黃在關鍵時間負責向恒生銀行的客戶推銷保單。法院裁定，黃在客戶不知情下在一份保險申請表格及一份保單取消表格上偽冒客戶簽名（註3）。

鑑於黃被定罪，證監會認為他並非獲發牌或註冊進行受規管活動的適當人選。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 黃是獲恒生銀行聘用以根據《證券及期貨條例》進行第1類（證券交易）及第7類（提供自動化交易服務）受規管活動的有關人士。黃目前沒有於香港金融管理局註冊，亦沒有獲證監會發牌。
2. 2015年12月10日，粉嶺裁判法院裁定黃兩項《刑事罪行條例》下的偽造罪名成立，判處140小時社會服務令。
3. 受影響的客戶獲恒生銀行作出賠償及獲退還就該份保單已付的2,054元保金。

最後更新日期：2016年10月3日