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SFC Reprimands Mui Kwong Yin Gordon

20 Feb 1997

Following an inquiry into short selling of securities by a client of Mr Mui Kwong Nok, James, trading as Forlux Securities Company ("Forlux"), the SFC announced today that it has publicly reprimanded Mr Mui Kwong Yin, Gordon, ("Mui") a registered dealer's representative.

The inquiry, which covered the period 1 September 1994 to 31 March 1996 when Mui was a registered dealer's representative of Forlux, found that Mui had facilitated the client's short selling of securities by failing to ensure that at the time of each sale the client had the securities to cover the sales Mui made on his behalf. The client, Mr Lim Thian Hu, was convicted on 21 January 1997 for short selling, in contravention of section 80 of the Securities Ordinance, at Western Magistracy.

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