

SFC Suspends Registrations of Ang Li Ling and Leung Ngai Man

12 Mar 1998

The SFC announced today that it had suspended the licences as leveraged foreign exchange trader's representatives of Mr Ang Li Ling (Ang) for a period of 6 months effective from 7 March 1998, and Mr Leung Ngai Man (Leung) for a period of 3 months effective from 12 March 1998.

The action stemmed from an investigation in which it was found that Ang had been an employee of CA Pacific Forex Limited (CA Forex) since December 1996, and from the time of his first employment with CA Forex had been under the supervision of Leung.

In respect of Ang, the Commission concluded that he had:

- a) knowingly engaged in leveraged foreign exchange trading on behalf of CA Forex during the period 13 January 1997 to 20 February 1997, whilst not its licensed representative;
- b) operated discretionary accounts on behalf of two clients from 13 January 1997 to 21 March 1997, contrary to Section 8 of the Leveraged Foreign Exchange Trading (Books, Contract Notes and Conduct of Business) Rules;
- c) performed the functions of a dealer on behalf of CA Pacific Securities Limited during the period 3 January 1997 to 13 August 1997, whilst not registered; and
- d) furnished false and misleading information to the Commission in a letter of 8 May 1997.

In respect of Leung, the Commission concluded that he had:

- a) aided and abetted Ang to engage in leveraged foreign exchange trading on behalf of CA Forex whilst not licensed; and
- b) had furnished false and misleading information to the Commission when interviewed.

For more information, please contact Bill Weeks at 2840-9289 or Kathleen Ho at 2840-9231.

主頁 ▶ 新聞稿及公布 ▶ 新聞稿 ▶ 執法消息

證監會暫時吊銷翁利靈及梁毅文的註冊

1998年3月12日

證監會今天公布，該會已暫時吊銷翁利靈（翁氏）的槓桿式外匯買賣商代表的牌照，由1998年3月7日起生效，為期6個月。此外，該會亦同時暫時吊銷梁毅文（梁氏）的槓桿式外匯買賣商代表的牌照，為期3個月，由1998年3月12日起生效。

上述的行動事緣證監會就有關事宜進行的調查。根據證監會調查所得，翁氏自1996年12月起受僱於正達金融策略有限公司（正達金融），而由翁氏任職正達金融開始，梁氏即為其主管。

證監會就翁氏達致以下結論：

- a) 翁氏明知本身非正達金融的持牌代表，但卻在1997年1月13日至1997年2月20日期間，代表正達金融進行槓桿式外匯買賣；
- b) 翁氏在1997年1月13日至1997年3月21日期間，代表兩名客戶操作全權委託帳戶，違反《槓桿式外匯買賣（簿冊、成交單據及業務操守）規則》第8條的規定；
- c) 翁氏在1997年1月3日至1997年8月13日期間，以正達證券有限公司代表的身分，無牌履行證券交易商的職能；及
- d) 翁氏在1997年5月8日致證監會的函件中，提供虛假及誤導性資料。

此外，證監會就梁氏達致以下結論：

- a) 梁氏協助及教唆翁氏以正達金融代表的身分，無牌進行槓桿式外匯買賣；及
- b) 梁氏在會見證監會職員時，提供虛假及誤導性資料。

如有進一步查詢，請致電與韋克志（2840 - 9289）或賀曾愉（2840 - 9231）聯絡。

最後更新日期：2012年8月1日