

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

## SFC Suspends Registrations of Lee Hon Ming, Yau Lap Kan and Law Hing Chun

31 Mar 1998

The Securities and Futures Commission announced that it had today suspended the registration of Mr Lee Hon-ming (Lee), Mr Yau Lap-kan (Yau) and Ms Law Hing-chun (Law) as securities dealer's representatives for a period of 16 months.

The suspension stemmed from an investigation covering the period from June 1991 to January 1995, during which time Lee, Yau and Law worked as floor traders for Wah Hing Securities Limited (Wah Hing). During this investigation, it was found that they had facilitated trading malpractices of a number of floor traders of other brokers using nominee accounts at Wah Hing, and which involved Wah Hing being interposed as either a buying or selling broker in which Wah Hing was not a party. The trading malpractices were prejudicial to the interests of the investing public. As a result, the SFC decided Lee, Yau and Law were guilty of misconduct and suspended their registrations.

Disciplinary action has earlier been concluded against the floor traders trading through the nominee accounts at Wah Hing resulting in their registrations being suspended for periods up to 3 years.

For further information, please contact Bill Weeks at 2840-9289 or Chan Chi-keung at 2842-7717.

Page last updated : 1 Aug 2012

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

## 證監會吊銷李漢明、丘立根和羅慶珍的牌照

1998年3月31日

證券及期貨事務監察委員會今天公布，該會已暫時吊銷三名證券交易商代表的牌照，為期 16 個月。三人分別為李漢明(李氏)、丘立根(丘氏)和羅慶珍(羅氏)。

上述行動緣自證監會一項涉及 1991 年 6 月至 1995 年 1 月期間的調查。在該段期間，李氏、丘氏及羅氏三人均任職為華興證券有限公司(華興)的出市代表。調查發現，三人利用在華興開立的代名人戶口，協助多名其他交易商的出市員從事不當交易活動，令華興加插在該等交易中作為買方或賣方經紀，但實際上華興與有關交易無涉。證監會認為該等不當交易活動有損投資大眾的利益，因此決定三人行為失當，須暫時吊銷牌照。

較早前，證監會曾就上述三名出市員利用在華興開立的代名人戶口買賣證券一事作出紀律處分，吊銷三人牌照最長至 3 年不等。

如有進一步查詢，請聯絡陳志強 ( 2842 - 7624 ) 或韋克志 ( 2840 - 9287 ) 。

最後更新日期：2012年8月1日