

## Enforcement Actions

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**8 July 1999**

### **SFC Suspends the Registration of Wong Wing Hing**

The Securities and Futures Commission (SFC) announced today that it had suspended the registration of Ms Wong Wing Hing (Wong), a dealer's representative of Celestial Securities Limited, for a period of 1 month under the Securities Ordinance (SO).

The SFC's action stemmed from an inquiry covering the period from January 1995 to October 1997 which revealed that Wong had carried out activities at Cheerful Securities Limited which required registration under the Commodities Trading Ordinance whilst she was not so registered. Further, it was revealed that Wong had allowed a person to trade through a client's account when that person had not been authorised by the account holder in writing to do so, thereby exposing Wong's employer and clients to unnecessary risks and potential loss.

An SFC spokesman said that Wong's conduct called into question her fitness and properness to be registered.

*Page last updated: 7 November 2001*

## 證監會暫時吊銷王永馨的註冊

1999年7月8日

證券及期貨事務監察委員會(證監會)今天公布,本會已暫時吊銷在《證券條例》之下的時富證券有限公司(Celestial Securities Limited)證券交易商代表王永馨(王氏)的註冊,為期1個月。

證監會的行動源自一宗涵蓋1995年1月至1997年10月的期間的調查,當中發現王氏在當時亦稱為時富證券有限公司的Cheerful Securities Limited從事若干須事先取得《商品交易條例》所需註冊方可進行的活動,但當時王氏卻並未取得所需註冊。此外,該項調查亦發現王氏允許一名人士透過一名客戶的帳戶進行交易,但有關帳戶的戶主卻沒有以書面向該名人士授權,因此令王氏的僱主及客戶蒙受不必要的風險及可能會招致的損失。

證監會發言人表示王氏的操守使人質疑其是否適宜獲准註冊。

最後更新日期:2012年8月1日