

Enforcement Actions

1 June 2000

SFC Suspends Mr Lam Ying Chi's Registration as a Dealer's Representative under the Securities Ordinance

The Securities and Futures Commission (SFC) announced today that it had suspended the registration of Mr Lam Ying Chi (Lam) as a dealer's representative under the Securities Ordinance for 10 months for misconduct.

The suspension stemmed from an inquiry in which the SFC found Lam had, whilst employed as a dealer's representative of Chung Nam Securities Limited (Chung Nam), operated a nominee account at Chung Nam without the knowledge of his employer. On 24 occasions over a period in March 1997 to April 1997 he used manual cross trades to trade with other clients of Chung Nam profiting at those clients expenses. His profit was substantial.

The SFC considered Lam's conduct was serious and decided to suspend him.

Notes to the Editor

The above action against Lam is the last disciplinary action to be taken by the SFC arising out of an inquiry which resulted in other disciplinary actions taken and announced earlier this year. Relating to the same inquiry, the SFC had publicly reprimanded Chung Nam (announced on 20 April 2000), publicly reprimanded its dealer's representative Mr Tsang Kwing Yin (announced on 17 April, 2000) and suspended Mr Cheng Wai Chung's registration for 6 months, Mr Tan Kin Kwok's registration for 3 months and Mr Chan Fan Tat's registration for 1 month (all announced on 18 May 2000). (Copies of the press releases are attached for your ease of reference). Lam's suspension above concludes the disciplinary matter of the inquiry.

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證監會根據《證券條例》暫時吊銷林英智作為交易商代表的註冊

2000年6月1日

證券及期貨事務監察委員會（證監會）今天公布，本會因為林英智（林氏）行為失當，已根據《證券條例》暫時吊銷林氏作為交易商代表的註冊，為期 10 個月。

上述暫時吊銷註冊資格的行動源自證監會的一宗查訊。有關查訊發現林氏在受僱於中南証券有限公司（中南）期間，在其僱主不知情的情況下，在中南操作一個代名人戶口。在 1997 年 3 月至 1997 年 4 月期間，他曾先後 24 次利用交叉盤，與中南其它客戶進行交易，並在損害該等客戶的利益的情況下，從上述交易當中獲取豐厚的利潤。

證監會認為林氏的行為相當嚴重，因此決定暫時吊銷其註冊。

編輯備註：

上述對林氏所採取的行動是證監會在進行一宗查訊後所採取的最後一項紀律處分行動。該宗查訊曾導致本會在年初採取了其他現已公布的紀律行動。涉及同一宗查訊的紀律處分行動包括：證監會公開譴責中南（在 2000 年 4 月 20 日公布）、公開譴責其交易商代表曾耿賢（在 2000 年 4 月 17 日公布），以及暫時吊銷鄭惠忠、陳健國和陳奮達的註冊，分別為期 6 個月、3 個月及 1 個月（全部在 2000 年 5 月 18 日公布）。（現夾附有關新聞稿，以供參閱）。上述對林氏所採取的暫時吊銷註冊的行動，結束了今次查訊的所有紀律行動。

最後更新日期：2012年8月1日