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## SFC Suspends the Registration of Mr Lam Wing Chak Victor

22 Dec 2000

The Securities and Futures Commission (SFC) announces today that it has suspended the registration of Mr Lam Wing Chak, Victor (Lam), a dealer's representative registered under the Securities Ordinance, for a period of four months.

The action stemmed from an inquiry which revealed that Lam, whilst employed as a dealer's representative of Corporate Brokers Limited, had:

- i. failed to obtain a client's written authorisation prior to conducting discretionary trades for the client;
- ii. failed to convey prompt trade confirmations to the client; and
- iii. provided inaccurate and misleading information to the client in relation to the client's account balance.

As a result, Lam breached the Code of Conduct For Persons Registered with the Securities and Futures Commission.

The SFC concluded that Lam's conduct had impugned his fitness and properness to remain as a registered person. In deciding to suspend Lam's registration, the SFC took into account that Lam had accepted responsibility to pay for the losses arising from the transactions in question, and had ceased to act as a registered person since October 1999.

Page last updated : 1 Aug 2012

## 證監會暫時吊銷林永澤的註冊

2000年12月22日

證券及期貨事務監察委員會（證監會）今天宣布，本會已暫時吊銷交易商代表林永澤（林氏）根據《證券條例》所獲得的註冊，為期四個月。

證監會的行動源自一宗查訊，當中發現林氏在受僱於協聯證券有限公司為交易商代表期間：

- i. 在替客戶進行全權委托交易之前，未有取得客戶的書面授權；
- ii. 未有就有關交易盡快向客戶覆盤；及
- iii. 就客戶的帳戶結餘，向客戶提供不準確及誤導性的資料。

因此，林氏違反了《證券及期貨事務監察委員會註冊人操守準則》。

證監會的結論是林氏的行為令人質疑其是否繼續為獲得註冊的適當人選。證監會在決定暫時吊銷林氏的註冊時，已考慮到林氏同意為有關交易所引致的損失負責及支付有關的款額，以及已於1999年10月起停止以註冊人的身分行事。

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