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SFC Bans Wang Pei Ying from Re-entering the Industry

21 Dec 2007

The SFC has banned Ms Wang Pei Ying from re-entering the industry for two years from 21 December 2007 to 20 December 2009 (Note 1).

The disciplinary action follows an SFC investigation which found that Wang, while working as a licensed representative of Morgan Stanley Asia Limited and Morgan Stanley Hong Kong Futures Limited:

- traded for clients without written authority contrary to internal directions; and
- failed to act honestly, fairly and in the best interests of clients by preparing false and misleading trading statements and providing them to clients.

Wang incurred unauthorised trading losses for clients and hid them by overstating the total market value and gain of clients' portfolios.

Wang did not dispute the SFC's findings and co-operated with the SFC's investigation. The SFC's decision takes her co-operation into account.

Ends

Notes:

1. Wang was formerly licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) and Type 2 (dealing in futures contracts) regulated activities. She left the industry in July 2007 and is currently not accredited to any licensed corporation.

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