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SFC bans former broker Chan Yuk Hing for three years

4 Aug 2014

The Securities and Futures Commission (SFC) has banned Mr Chan Yuk Hing, a former broker, from re-entering the industry for three years from 1 August 2014 to 31 July 2017 (Note 1).

In July 2012, Chan was ordered to serve 80 hours of community service by the Eastern Magistrates' Court following conviction on one count of false trading. Chan subsequently lodged an appeal against the conviction, which was dismissed by the Court of First Instance in January 2014 (Notes 2 & 3).

The SFC concluded that Chan had been guilty of misconduct and is not fit and proper to be licensed.

End

Notes:

1. Chan was licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) regulated activity and was accredited to KGI Asia Limited between January 2008 and August 2010. He is currently not licensed by the SFC.
2. Please see the SFC's press releases dated [29 June 2012](#), [13 July 2012](#) and [13 January 2014](#).
3. The Court of First Instance's judgment (HCMA558/2012) is available on the Judiciary's website (www.judiciary.gov.hk) (in Chinese only).

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