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## SFC Takes Action Against Mr Lam Ying Chi, a Dealer's Representative under the Securities Ordinance

22 Mar 2001

The SFC announced today that it had publicly reprimanded Mr Lam Ying Chi (Lam), a dealer representative under the Securities Ordinance.

The reprimand stems from an inquiry in which it was found that on 12 January 2000 Lam gained entry to the trading hall of the Stock Exchange of Hong Kong Limited (SEHK) using the details of an authorised colleague and proceeded to execute orders for his employer when his accreditation to act for them as a dealer's representative had not been approved by the SFC. His actions were in contravention of Rule 548 of the SEHK's rules and in breach of the registration requirements of section 50 (1C) of the Securities Ordinance.

As a result of the above findings, SFC concluded that Lam's fitness and properness had been impugned and decided to publicly reprimand him. In reaching this decision, the SFC had taken into account that at the time of the incident of 12 January 2000 he was acting under instructions of a senior colleague of his employer and that he was fully cooperative in the SFC's inquiry.

Page last updated : 1 Aug 2012

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## 證監會對根據《證券條例》註冊為交易商代表的林英智採取行動

2001年3月22日

證監會今天公布，本會已公開譴責根據《證券條例》獲註冊為交易商代表的林英智(林氏)。

該項譴責源自證監會的一項查訊，當中發現在2000年1月12日，林氏首先利用一名獲授權的同事的資料取得進入香港聯合交易所有限公司(聯交所)交易大堂的機會，然後在交易大堂內為其僱主執行買賣盤，但當時林氏作為隸屬於其僱主的交易商代表這項資格尚未獲得證監會核准。林氏作出的上述行動除違反聯交所規則第548條外，亦觸犯《證券條例》第50(1C)條的規定。

鑑於上述的查訊結果，證監會認為林氏的適當人選資格已受到質疑，決定予以公開譴責。在達致該項決定時，證監會已顧及到在2000年1月12日的事件發生時，林氏是依照其受僱公司的一名高級人員的指示行事的，以及林氏在證監會的查訊期間表現充分合作等因素。

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