

Enforcement Actions

17 April 2000

SFC Publicly Reprimands Mr Tsang Kwing Yin, a Dealer's Representative under the Securities Ordinance

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Tsang Kwing Yin (Tsang), a dealer's representative under the Securities Ordinance (SO)

The reprimand stems from an inquiry in which the SFC found that Tsang, while employed by Chung Nam Securities Limited (Chung Nam), had used 2 nominee accounts to conduct his own trading at Chung Nam without the consent and knowledge of Chung Nam.

As a result of the above findings, the SFC concluded that Tsang's fitness and properness had been impugned and decided to publicly reprimand him.

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證監會公開譴責根據《證券條例》註冊為交易商代表的曾耿賢

2000年4月17日

證監會今天公布，本會已公開譴責根據《證券條例》註冊為交易商代表的曾耿賢（曾氏）。

這項譴責源自證監會的一宗調查，當中發現曾氏在受僱於中南證券有限公司（中南）期間，在中南不知情及未獲其同意的情況下，透過兩個代名人戶口在中南進行本身的交易。

根據上述發現，證監會認為曾氏作為註冊人的適當人選資格已受到質疑，因此決定公開譴責曾氏。

最後更新日期：2012年8月1日