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SFC Reprimands Lee Kwong Chung David

24 May 2001

The SFC announced today that it had publicly reprimanded Mr Lee Kwong Chung David (Lee), a director of CU Securities Limited (CU).

The SFC found that in August 1998 Lee, when he was a dealing director of CU, had placed derivative warrants to clients connected to him in breach of the SEHK's Placing Guidelines for Derivative Warrants and had operated a number of client accounts without written authorisation of those account holders in breach of the Code of Conduct for Persons Registered with the Securities and Futures Commission.

In view of the above findings the SFC has publicly reprimanded Lee.

Page last updated : 1 Aug 2012

證監會譴責李廣聰

2001年5月24日

證券及期貨事務監察委員會（證監會）今天公布，本會已公開譴責身為富聯證券有限公司（富聯）董事的李廣聰（李氏）。

證監會發現在 1998 年 8 月，李氏身為富聯的交易董事，向與其有關連的客戶配售衍生權證，因而違反了聯合交易所《衍生權證的配售指引》的規定，以及在未取得若干客戶的書面授權的情況下，操作該等客戶所持有的帳戶，違反了《證券及期貨事務監察委員會註冊人操守準則》的規定。

基於上述調查結果，證監會決定公開譴責李氏。

最後更新日期：2012年8月1日