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## SFC Publicly Reprimands Mr Lau Kam Shing Alex

29 Jun 2001

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Lau Kam Shing, Alex (Lau), a registered dealer's representative under the Securities Ordinance and a registered commodity dealer's representative under the Commodity Trading Ordinance. Lau is an account executive of Interchina (Makindo) Securities Limited (formerly Makindo Securities (Hong Kong) Limited) (Makindo).

The reprimand stemmed from an investigation into trading conducted in September 1999. The SFC found that Lau did not keep any record of his clients' orders in direct contravention of Makindo's internal guidelines.

The SFC concluded that the fitness and properness of Lau has been impugned and decided to publicly reprimand him. In deciding on this course of action, the SFC took into account that Lau has been co-operative with the Commission's inquiry.

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