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## Enforcement News

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22 September 2009

### SFC disciplines bank employee for operating secret bank account

The Securities and Futures Commission (SFC) has banned a bank employee, Mr Tong Dick Kwong, from re-entering the industry for 10 months from 22 September 2009 to 21 July 2010 (Note 1) for operating a secret account.

An SFC investigation following a referral by the Hong Kong Monetary Authority found that Tong has operated a secret account under the name of his mother-in-law, and approved the credit facilities of this account without disclosing to his employer his relationship with the account holder and his beneficial interest in this account.

Tong's conduct breached his employer's staff dealing policy and deprived his employer the opportunity to ensure compliance with the relevant laws and to monitor his trading activities that might be prejudicial to clients.

The SFC will continue to take actions against intermediaries who operate secret accounts and is prepared to increase the level of sanction, if necessary, to stamp out this practice.

End

Note:

1. At the relevant time, Tong was engaged by Fubon Bank (Hong Kong) Ltd to carry on Types 1, 4, 6 and 9 regulated activities.

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## 證監會對操作秘密帳戶的銀行僱員作出紀律處分

2009年9月22日

證券及期貨事務監察委員會（證監會）因銀行僱員唐狄廣（男）操作秘密帳戶而禁止唐重投業界，為期十個月，由2009年9月22日至2010年7月21日止（註1）。

證監會早前接獲香港金融管理局的轉介並展開調查，發現唐以岳母名義操作一個秘密帳戶，並批核這帳戶的信貸融通，但唐沒有向僱主披露本身與帳戶持有人的關係及本身擁有這帳戶的實益權益。

唐的行為違反了僱主的僱員交易政策，令僱主無法確保銀行遵從相關法例，亦未能監察唐可能有損客戶利益的交易活動。

證監會將繼續採取行動對付操作秘密帳戶的中介人，在必要時會提高罰則，以遏止這類不當行為。

完

備註：

1. 在有關時間，唐受僱於富邦銀行（香港）有限公司進行第1類（證券交易）、第4類（就證券提供意見）、第6類（就機構融資提供意見）及第9類（提供資產管理）受規管活動。

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