

## SFC Reprimands Chan Wing Fai

13 May 1999

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Chan Wing Fai (Chan), who is registered as a securities dealer's representative of Corporate Brokers Limited (CBL) under the Securities Ordinance (SO).

The SFC conducted an inquiry under section 56 of the SO which revealed that during June 1995 to January 1997 Chan had :

a) facilitated a breach of Code 12.2 of the Commission's "Code of Conduct for Persons Registered with the Securities and Futures Commission" in that he knowingly dealt in securities for an employee of another registered person without having taken steps to secure the written consent of that other registered person; and

b) failed to make arrangements for an oral authorisation given by a client to be reduced into writing thereby exposing his employer to financial risk.

On this basis the SFC concluded that Chan's fitness and properness as a registered person has been impugned.

Page last updated : 1 Aug 2012

## 證監會譴責陳永輝

1999年5月13日

證券及期貨事務監察委員會(證監會)今天公布,本會已公開譴責陳永輝(陳氏)。陳氏是根據《證券條例》註冊為協聯證券有限公司(協聯證券)的證券交易商代表。

證監會根據《證券條例》第56條進行查訊,結果發現在1995年6月至1997年1月期間:

a) 陳氏在未有採取步驟以獲得另一名註冊人的書面同意的情況下,明知此事而替該名註冊人的僱員買賣證券,因而利便了觸犯《證券及期貨事務監察委員會註冊人操守準則》第12.2條的規定的事件的發生,及

b) 陳氏未有安排將客戶的口頭授權改寫為書面授權,致使其僱主承受財務風險。

證監會表示上述事件使人質疑陳氏是否為取得註冊資格的適當人選。

最後更新日期:2012年8月1日