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SFC Publicly Reprimands Ms Chuang Yue Chie, a Dealer's Representative under the Securities Ordinance

20 Apr 2000

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Ms Chuang Yue Chie (Ms Chuang), a dealer's representative of Chuang's & Co Limited (Chuang's) under the Securities Ordinance.

The reprimand stems from an inquiry which revealed that in handling settlement of client sales on 28 August 1998, Ms Chuang had contrary to her company's settlement policy knowingly without authority used a small number of shares belonging to Chuang's cash clients to meet settlement shortfalls of another client, thereby exposing cash clients to unnecessary risk.

In deciding to publicly reprimand Ms Chuang, the SFC has taken into consideration the fact that the number of shares and clients involved was small, no loss were sustained by these clients and the incident was an one-off situation.

Page last updated : 1 Aug 2012

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證監會公開譴責根據《證券條例》註冊的交易商代表莊瑜仙

2000年4月20日

證券及期貨事務監察委員會(證監會)今天宣布公開譴責根據《證券條例》註冊為莊氏投資有限公司(莊氏投資)交易商代表的莊瑜仙(莊氏)。

這項譴責源自一項查訊，當中發現於1998年8月28日，莊氏在處理客戶就賣出股份所作的交收時，違反該公司的交收政策，故意在沒有獲得授權的情況下，利用小部分屬於莊氏投資的現金客戶的股份，來填補另外一名客戶在交收方面出現的不足之數，因而令有關的現金客戶承受不必要的風險。

證監會在決定公開譴責莊氏時，考慮到事件所涉及的股份數目和客戶人數不多，有關客戶亦沒有蒙受任何損失，而且有關情況只發生過一次。

最後更新日期：2012年8月1日