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SFC Reprimands Mr. Wong Ching Sau James and Madam Chu King Yee

6 Apr 2001

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr. Wong Ching Sau James (Wong) and Madam Chu King Yee (Chu), formerly registered dealers under the Securities Ordinance (SO).

The public reprimands stem from inquiries conducted under section 56 of the SO which revealed that Wong and Chu had failed to discharge their supervisory responsibilities over the operations of C.A. Pacific Securities Ltd. (CAPSL) in their former capacities as directors and registered dealers of CAPSL. Instead, Wong and Chu had knowingly allowed a person who was not registered with the Commission to assume direct supervision and management of the operations and business of CAPSL. The SFC also found that they had failed to exercise due care and diligence in performing their functions as authorised signatories of a fellow group company of CAPSL. As a result of their conduct, the business of CAPSL was conducted in such a way so as to have prejudiced the interest of the members of the investing public.

In light of these findings, the SFC has concluded that the fitness and properness of Wong and Chu as directors and persons concerned in the management of CAPSL had been impugned. cooperative in the SFC's inquiry.

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證監會譴責王正修及諸瓊宜

2001年4月6日

證及期貨事務監察委員會（證監會）今天公布，本會已公開譴責曾經根據《證券條例》註冊的前註冊交易商王正修（王氏）及諸瓊宜（諸氏）。

該項公開譴責源自一項根據《證券條例》第56條進行的查訊，當中發現王氏及諸氏在出任正達證券有限公司（正達證券）的董事及註冊交易商期間，未有履行其對正達證券的運作的監管責任，反而在知情的情況下，允許一名沒有在證監會註冊的人士直接監督及管理正達證券的運作及業務。證監會亦發現王氏及諸氏未有勤勉盡責地履行其作為正達證券的集團成員公司的獲授權簽署人的職能。由於上述兩人的行為，正達證券經營業務的方式有損投資大眾的利益。

基於上述的查訊結果，證監會認為王氏及諸氏作為正達證券的董事及管理層的適當人選資格受到質疑。

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