

SFC Suspends the Registration of Mr Tsang Chun Fuk Kevin

11 Apr 2001

The Securities and Futures Commission (SFC) announces today that it has suspended the registrations of Mr Tsang Chun Fuk, Kevin (Tsang), a dealer's representative registered under the Securities Ordinance (SO) and the Commodities Trading Ordinance (CTO), for a period of two months.

The action stemmed from inquiries made, pursuant to sections 56 of the SO and 36 of the CTO, by the SFC into the conduct of Tsang. These inquiries revealed that Tsang whilst employed as a dealer's representative of KGI Asia Limited, had breached the Code of Conduct For Persons Registered with the Securities and Futures Commission. He had permitted a third party to trade through a client's account without the client's authorization and operated a discretionary account for a client without obtaining his written authorization. Tsang was also found to have contravened the guidelines of KGI Asia Limited by failing to check the full identity of a third party prior to allowing him to operate a client's account and by conducting his personal trades through a client's account.

The SFC concluded that Tsang's conduct had impugned his fitness and properness to be a registered person. In deciding to suspend Tsang's registrations, the SFC took into account that Tsang had not been practising in the industry since April 2000.

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證監會暫時吊銷曾俊福的註冊

2001年4月11日

證券及期貨事務監察委員會（證監會）今天公布，本會已暫時吊銷根據《證券條例》及《商品交易條例》註冊的交易商代表曾俊福(曾氏)的註冊，為期2個月。

證監會的行動源自本會依據《證券條例》第56條及《商品交易條例》第36條就曾氏的行為進行的查訊。該等查訊發現曾氏在受僱於凱基證券亞洲有限公司作為交易商代表期間，曾違反《證券及期貨事務監察委員會註冊人操守準則》的規定，容許一名第三者在未經一名客戶授權的情況下，透過該名客戶的帳戶進行交易；曾氏更在未取得一名客戶的書面授權而為該名客戶操作其委託帳戶。此外，有關查訊亦發現，曾氏在允許一名第三者操作一名客戶的帳戶之前，未有查核該名第三者的全部身分，而曾氏曾透過一名客戶的帳戶進行其個人交易，因而違反凱基證券亞洲有限公司的指引。

證監會的結論是曾氏的行為令人質疑其是否獲得註冊的適當人選。證監會在決定暫時吊銷曾氏的註冊時，已考慮到曾氏自2000年4月起已沒有從事有關的證券買賣業務。

最後更新日期：2012年8月1日