

## SFC Takes Action Against Mr Raymond Kwok Man Pang

19 Apr 2001

The SFC announced today that it has publicly reprimanded Mr Raymond Kwok Man Pang (Kwok), a dealing director of Grand Securities Company Limited.

The reprimand stems from an inquiry which revealed that in 1998 Kwok had

- received and executed orders from a third party to operate four accounts without proper authorisation from the clients;
- signed as a witness on the account opening forms of these clients without witnessing their signatures;
- failed to establish the true and full identity of these clients and their financial situation, investment experience and investment objectives.

In deciding to publicly reprimand Kwok, the SFC took into account that

- Kwok acknowledges and accepts that his conduct had not met the standard expected by the SFC of a registered dealing director;
- Kwok has co-operated with the SFC throughout the inquiries.

Page last updated : 1 Aug 2012

## 證監會對郭文鵬採取行動

2001年4月19日

證監會今天公布，本會已公開譴責大唐證券有限公司的交易董事郭文鵬（郭氏）。

上述譴責行動源自證監會的一宗查訊，當中證監會發現在1998年，郭氏曾經：

- 在未取得有關客戶的適當授權的情況下，接收及執行第三者要求操作四個帳戶的指示；
  - 在該等客戶的開戶文件簽署為見證人，但郭氏實際上並沒有見證他們在文件上簽名；
  - 未能確立該等客戶的真實及全部的身分，以及他們的財政狀況、投資經驗及投資目標。
- 在決定公開譴責郭氏時，證監會已考慮到：

- 郭氏承認及接受其行為未能符合證監會對註冊交易董事所要求的標準；
- 郭氏在查訊期間與證監會合作。

最後更新日期：2012年8月1日