

## SFC Publicly Reprimands Mr Yeung Shu Fan, a Dealer's Representative under the Securities Ordinance and a Commodity Dealer's Representative under the Commodities Trading Ordinance

19 Apr 2001

The SFC announced today that it had publicly reprimanded Mr Yeung Shu Fan (Yeung), a dealer's representative under the Securities Ordinance and a commodity dealer's representative under the Commodities Trading Ordinance.

The reprimand stems from an inquiry in which the SFC found that during the period from 1995 to July 2000, Yeung, while employed by Seapower Futures Limited, Seapower Securities Limited, KGI Seapower Futures Limited, KGI Seapower Securities Limited, Shenyin Wanguo Securities (HK) Limited, and Shenyin Wanguo Futures (HK) Limited in the capacity of a branch manager, had failed to properly carry out his supervisory responsibilities by knowingly allowing-

(a) two of the staff under his supervision to operate two of their clients' accounts without first obtaining written authorization from those clients in contravention of the internal rules of his employers; and

(b) the two staff to conduct their own trading through these accounts, in contravention of the staff dealing policies of his employers.

As a result of the above findings, the SFC concluded that Yeung's fitness and properness had been impugned and decided to publicly reprimand him.

Page last updated : 1 Aug 2012

## 證監會公開譴責根據《證券條例》及《商品交易條例》分別註冊為交易商代表及商品交易商代表的楊樹勳

2001年4月19日

證券及期貨事務監察委員會（證監會）今天公布，本會已公開譴責根據《證券條例》及《商品交易條例》分別註冊為交易商代表及商品交易商代表的楊樹勳（楊氏）。

證監會的行動源自一項查訊，當中發現楊氏在1995年至2000年7月受僱於海裕期貨有限公司、海裕證券有限公司、凱基海裕期貨有限公司、凱基海裕證券有限公司、申銀萬國證券(香港)有限公司及申銀萬國期貨(香港)有限公司期間，雖然身為分行經理，卻未有適當地履行其監督職能，在明知的情況下：

- (a) 容許兩名下屬未有事先取得其兩名客戶的書面授權而操作該等客戶的帳戶，有違其僱主的內部規則；
- (b) 容許該兩名職員透過上述帳戶進行自己的買賣，有違其僱主的職員交易政策。

基於以上查訊所得，證監會認為楊氏的行為使人質疑其是否適宜作為註冊人，因而決定作出公開譴責。

最後更新日期：2012年8月1日