

SFC Reprimands So Chi Ming

19 Jul 2001

The SFC announced today that it has reprimanded Mr So Chi Ming (So), a securities dealer's representative registered under the Securities Ordinance (SO).

The SFC's action stemmed from an investigation into suspected unregistered dealing activities during the period of December 1998 and May 1999 at So's former employer. These matters occurred before So was employed by his current employer.

The SFC found that So:

- had as supervisor of a number of staff, who were not registered with the SFC in any capacity, took inadequate steps to ensure such staff did not open accounts and handle client orders; and
- had signed account opening documents for clients acknowledging that he had been present when the prospective clients signed the documents, even though he had not.

The SFC concluded that the fitness and properness of So as a dealer's representative under the SO has been impugned. In deciding on this action, the SFC took into account that So had fully co-operated with the SFC's investigation.

Page last updated : 1 Aug 2012

證監會譴責蘇智明

2001年7月19日

證券及期貨事務監察委員會（證監會）今天宣布，本會已譴責根據《證券條例》註冊的證券交易商代表蘇智明（蘇氏）。

證監會的行動源自一項就蘇氏的前任僱主於1998年12月至1999年5月期間所進行的涉嫌無牌交易活動而展開的調查。有關活動在蘇氏獲其現任僱主聘用之前發生。

證監會在該項調查中發現：

- 蘇氏作為若干沒有在證監會註冊的員工的上司，並沒有採取妥善的措施以確保該等員工不會替客戶開立帳戶和處理客戶的買賣指示；及
 - 蘇氏即使沒有親眼見證客戶簽署開戶文件，但蘇氏仍然在有關文件中簽署確認曾經在場見證有關客戶簽署該等文件。
- 證監會認為蘇氏的行為已令人懷疑其是否適宜繼續根據《證監會條例》註冊為交易商代表。證監會在決定採取上述行動時，已考慮到蘇氏在調查過程中與證監會充分合作這個因素。

最後更新日期：2012年8月1日