

SFC Suspends the Registration of Dealer

24 Jan 1997

The Securities and Futures Commission ("SFC") announced that with effect from today it has suspended the registration of Mr Tsang Kwok Kee ("Tsang") as a securities dealer of Magnum International Securities Limited ("Magnum") for a period of three months. This action resulted from an inquiry into Tsang's misconduct in knowingly dealing in securities for employees of another member of the Stock Exchange of Hong Kong Limited ("SEHK") without having written to that member and received his written consent.

The inquiry revealed that during the period 1 April 1994 to 31 May 1995 Tsang had been guilty of misconduct in that: -

- a) as a dealing director, initially he was unaware of the requirements for obtaining written consent from other members in respect of the share dealings by their employees;
- b) having been specifically informed of the requirements by the SEHK he deliberately ignored them in respect of the operation of one such employee account; and
- c) deliberately circumvented the requirements referred in a) above by facilitating the operation of a nominee account for and on behalf of another employee of that other member.

In determining the length of suspension, the SFC has taken into account that Tsang had been assigned to work exclusively in the back office of Magnum for over one and a half years, and his full co-operation during the inquiry.

Page last updated : 1 Aug 2012

證監會暫時吊銷交易商的註冊

1997年1月24日

證券及期貨事務監察委員會 ("證監會") 今天公布, 該會決定暫時吊銷萬能國際證券有限公司 ("萬能") 的交易商曾國基 ("曾氏") 的註冊 3 個月, 即日生效。證監會是在進行查訊後, 發現曾氏在知情的情況下, 替另一名聯合交易所有限公司 ("聯交所") 的會員的僱員進行證券交易, 但卻未有就此致函通知該會員及取得其書面同意, 然後才採取上述行動。

有關查訊揭示在 1994 年 4 月 1 日至 1995 年 5 月 31 日期間, 曾氏曾犯失當行為: -

- (a) 身為交易董事, 曾氏最初並未察覺到當其替其他聯交所會員的僱員進行股份交易前, 必須取得有關會員的同意這個規定;
- (b) 當聯交所特別通知曾氏有關規定後, 曾氏蓄意忽略其中一個上述該類戶口的運作;
- (c) 通過對一個以該名聯交所會員的另一位僱員名義開立的代名人戶口提供便利, 曾氏蓄意迴避上述 (a) 段的規定;

在決定曾氏的註冊應被暫時吊銷多久時, 證監會已顧及曾氏被調返萬能負責該公司的後勤業務已超過一年半, 以及在整個查訊過程中曾氏提供充分合作等因素。

如有任何查詢, 請致電 (2840-9287) 與韋克志或陳志強聯絡。

最後更新日期: 2012年8月1日