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## SFC Reprimands Chan Chun Ming and Tse Siu Kam, Dealer's Representatives of Chan Yuen Yee Trading as Tai Shing Stock Investment Company

10 Jul 1997

The SFC today announced that it had reprimanded Mr Chan Chun Ming (Chan) and Ms Tse Siu Kam (Tse) for their misconduct whilst employed by Tai Shing Stock Investment Company as dealer's representatives.

Chan was reprimanded for concealing his personal trading from Tai Shing by trading through a nominee account which he also used to short sell securities between February and March 1995. In relation to his short selling activities, Chan had, on 25 February 1997, pleaded guilty at Western Magistracy to two summonses for contravening Section 80 of the Securities Ordinance; he was fined \$5,000.

Tse was reprimanded in relation to her failure to ensure, prior to executing sell orders received from two clients on a total of eight occasions during the period from 17 to 28 February 1995, that the clients had stock on hand to settle the sales at the time each order was placed.

Page last updated : 1 Aug 2012

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## 證監會譴責陳婉儀 (以大盛投資公司經營業務) 的交易商代表－陳循明及謝小琴

1997年7月10日

證監會今天公布譴責陳循明 (陳氏) 及謝小琴 (謝氏)，指二人受聘為大盛投資公司的證券交易商代表時行為失當。

陳氏在 1995 年 2 月至 3 月期間，以代名人戶口買賣證券，以免大盛知悉其私人交易，並透過該戶口非法沽空證券。至於沽空證券一事，陳氏已在 1997 年 2 月 25 日於西區裁判法院分別承認兩項涉及違反《證券條例》第 80 條的控罪，並且被判罰款 5,000 元。

由於謝氏於 1995 年 2 月 17 至 25 日期間，在執行其兩名客戶的 8 項賣出指示之前，未有確定該兩名客戶在發出該等指示時，是否持有足以交收有關交易的證券，因而受到譴責。

如有任何查詢，請致電 (2840-9287) 與韋克志聯絡。

最後更新日期：2012年8月1日