

Enforcement Actions

15 July 1999

SFC Reprimands Dealer's Representative Mr Lai Tai Wai

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Lai Tai Wai (Mr Lai), a dealer's representative.

The reprimand stemmed from an investigation in which the SFC found that Mr Lai, whilst employed by OSK Asia Securities Limited (OSK):

- had knowingly opened and used nominee accounts for trading in OSK for a period of four years;
- had failed to monitor his trading to ensure he did not short sell securities; and
- had facilitated another staff of OSK to use a nominee account for trading in OSK.

Mr. Lai is no longer employed by OSK.

A spokesman of the SFC said that Mr Lai's conduct impugned his fitness and properness to be registered and warranted a public reprimand.

Page last updated: 7 November 2001

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

證監會譴責交易商代表黎大威

1999年7月15日

證券及期貨事務監察委員會(證監會)今天公布,本會決定公開譴責交易商代表黎大威(黎氏)。

上述譴責源自證監會的一宗調查,當中發現黎氏在受僱於萬信證券有限公司(萬信)期間:

- 在知情的情況下,開立和利用代名人戶口在萬信進行買賣,為期四年;
- 未有確保其本身的買賣不會出現賣空證券的情況;及
- 利便萬信的另一名僱員以代名人戶口在萬信進行買賣。

黎氏現已不再受僱於萬信。

證監會的發言人表示,黎氏的行為使人質疑其是否為取得註冊資格的適當人選,及應予以公開譴責。

最後更新日期:2012年8月1日