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SFC Takes Action Against Mr Kwan Wai Man and Mr Poon Ming Bor Patrick

6 Apr 2001

The SFC announced today that it has reprimanded Mr Poon Ming Bor Patrick (Poon), a dealing director of CSC Securities (HK) Limited (CSC) and Mr Kwan Wai Man (Kwan), a former dealing director of CSC.

The SFC's inquiry revealed that between December 1998 and May 1999, unregistered staff had solicited clients to open accounts at CSC and handled client orders contrary to the registration requirements of the Securities Ordinance. The Commission found that Kwan and Poon, as dealing directors, had failed to implement properly CSC's controls and procedures to ensure compliance with the registration requirements and were therefore responsible for the above matters.

Page last updated : 1 Aug 2012

證監會對關惠文、潘銘波採取行動

2001年4月6日

證監會對關惠文、潘銘波採取行動

證監會今天公布，本會已經譴責群益證券(香港)有限公司(群益)的交易董事潘銘波(潘氏)及前任交易董事關惠文(關氏)。

證監會的查訊發現，未經註冊的群益職員在1998年12月至1999年5月期間曾招攬顧客在群益開戶並處理客戶的買賣指示，因而違反《證券條例》的註冊規定。證監會認為，身為群益的交易董事的關氏及潘氏，由於未有妥善地落實監控措施及有關程序以確保註冊規定得到遵守而須就上述的事宜承擔責任。

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