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SFC Takes Actions Against Ewarton Securities Limited, Mr Ng Ka Wing Kenneth and Mr Yeung Sau Fung Alfred

26 Apr 2001

The SFC announced today that it had publicly reprimanded Ewarton Securities Limited (Ewarton), its director Mr Ng Ka Wing Kenneth (Ng) and its dealer's representative Mr Yeung Sau Fung Alfred (Yeung) under the Securities Ordinance.

The SFC's actions stemmed from an investigation in which it was found that during the period from 20 January 1999 to 12 November 1999, Ewarton had facilitated the use of premises by an unregistered person to solicit clients, open accounts and place trading orders. In September 2000, the SFC prosecuted the unregistered person who pleaded guilty to carrying on a business of dealing in securities without being registered as a securities dealer and was sentenced accordingly.

Yeung, a shareholder of Ewarton and its dealer's representative, actively participated in the facilitation provided to the unregistered person and had direct responsibility for the above matters. Ng, as a director of Ewarton, knew of the activities and approved payments to the unregistered person. The SFC concluded that the conduct of Ewarton and Yeung had impugned their fitness and properness to be registered and Ng's conduct impugned his fitness and properness to be a director of Ewarton.

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證監會對穎翔證券有限公司、吳家榮及楊秀峯採取行動

2001年4月26日

證監會今天公布，本會已根據《證券條例》公開譴責穎翔證券有限公司（穎翔）、其董事吳家榮（吳氏）及其交易商代表楊秀峯（楊氏）。

證監會的行動源自一項查訊，當中發現在1999年1月20日至1999年11月12日期間，穎翔利便一名未經註冊的人士使用其處所招攬客戶、開立帳戶及發出買賣指示。證監會在2000年9月檢控該名未經註冊的人士在並非註冊為證券交易商的情況下經營證券交易業務，該人承認控罪並受到懲處。

身為穎翔股東及交易商代表的楊氏曾積極地協助該名未經註冊的人士，因此亦須直接對上述事宜負責。吳氏是穎翔的董事；他知悉上述活動，且批准付款予該名未經註冊的人士。證監會認為穎翔及楊氏的行為使人質疑他們是否適宜作為註冊人，而吳氏的行為則使人質疑其是否適宜作為穎翔的董事。

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