

SFC Takes Action Against Lee Ming Yin Alex

28 Jun 2001

The SFC announced today that it had reprimanded Mr Lee Ming Yin, Alex, (Lee) under section 56 of the Securities Ordinance.

The SFC's actions stemmed from an investigation into suspected unregistered dealing activities at Core Pacific-Yamaichi International (HK) Limited (CPYI) and Core Pacific-Yamaichi Securities (HK) Limited (CPYS) during the period of March 1998 and January 1999. The SFC found that Lee as a dealer's representative of CPYI and CPYS had:

- allowed his name and account executive code to be used by unregistered staff to book their trades; and signed as a witness and as the responsible account executive of 1 client, and signed as the responsible account executive of 2 clients on the account opening documents when he had not been present when the account opening procedures had been carried out.

Staff members of CPYI/CPYS were convicted for acting as dealer's representatives without being registered and were sentenced accordingly. The SFC concluded that the fitness and properness of Lee as a securities dealer's representative under the Securities Ordinance has been impugned.

The SFC notes Lee's co-operation during its investigation, his prompt voluntary resignation from his then position with CPYI/CPYS and his perception that he was acting under management pressure and has taken all this into account when deciding to publicly reprimand him.

Page last updated : 1 Aug 2012

證監會對李明賢採取行動

2001年6月28日

證監會今天公布，本會已根據《證券條例》第56條譴責李明賢(李氏)。

證監會的行動源自一宗涉及1998年3月至1999年1月期間，京華山一國際(香港)有限公司(京華山一國際)和京華山一證券(香港)有限公司(京華山一香港)涉嫌從事無牌交易活動的調查。證監會發現，李氏身為京華山一國際和京華山一證券的交易商代表，曾經：

- 容許未經註冊的職員利用其名稱及客戶主任代號將交易入帳；及
 - 在一名客戶的開戶文件上簽署作為見證人和責任客戶主任，以及在兩名客戶的開戶文件上簽署作為責任客戶主任，但在進行有關的開戶程序時，李氏實際上並不在場。
- 京華山一國際／京華山一證券若干僱員已因為在未經註冊的情況下，以交易商代表的身份行事而被判處罪名成立及受到相應的懲處。

證監會認為李氏作為根據《證券條例》註冊的證券交易商代表的適當人選的資格已受到質疑。

證監會在決定公開譴責李氏時，已考慮到李氏在調查過程中表現合作，並且在自願的情況下，迅速辭去其當時在京華山一國際／京華山一證券擔任的職務，以及李氏認為其本人是在有關公司的管理層的壓力之下行事等因素。

最後更新日期：2012年8月1日