

SFC Reprimands Whole Win Securities Limited and Lo Kai Ming Jimmy

17 Feb 2000

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Whole Win Securities Limited (Whole Win), a registered securities dealer, and its dealing director, Mr Lo Kai Ming, Jimmy (Lo).

The reprimand stems from an investigation covering the period from February to March 1998 in which the SFC found that Whole Win had failed to put in place satisfactory internal control procedures:

- (a) to detect and deter short selling by its clients;
- (b) to ensure that persons placing orders for clients were properly authorized to do so; and
- (c) to properly monitor its staff's trading activities.

Lo was the sole dealing director of Whole Win during that period and therefore directly responsible for such failings. In deciding on this course of action, the SFC has taken into consideration the fact that Lo has been cooperative during the investigation and has taken remedial action to remedy the failings identified.

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證監會譴責鴻運證券有限公司及盧啟銘

2000年2月17日

證券及期貨事務監察委員會(證監會)今天公布,本會已公開譴責註冊證券交易商鴻運證券有限公司(鴻運)及其交易董事盧啟銘(盧氏)。

這項譴責源自證監會一宗涵蓋1998年2月至3月期間的調查,當中發現鴻運未有設立妥善的內部監控程序:

- (a) 以偵查及阻嚇其客戶賣空證券;
- (b) 以確保替客戶落盤者已獲得適當的授權進行落盤工作; 及
- (c) 妥善地監察其僱員的交易活動。

在該段期間,盧氏身為鴻運的唯一交易董事,須就該等缺失直接負上責任。在決定採取上述行動時,證監會已考慮到盧氏在調查期間充分合作及已採取補救措施糾正上述缺失等因素。

最後更新日期: 2012年8月1日