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## SFC Publicly Reprimands Chong Ka Fu

6 Apr 2000

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Chong Ka Fu (Chong), a dealer's representative of Winfull Securities Limited (Winfull) under the Securities Ordinance.

The reprimand stems from an inquiry which revealed that in handling the settlement of client sales on 28 August 1998, Chong had contrary to his company's settlement policy without authority used shares of Winfull's cash clients to cover settlement shortfalls of other clients, thereby exposing cash clients to unnecessary risk.

As a result, the Commission concluded that Chong's conduct warrants a public reprimand.

Page last updated : 1 Aug 2012

## 證監會公開譴責莊家富

2000年4月6日

證券及期貨事務監察委員會(證監會)今天公布,本會已公開譴責莊家富(莊氏)。莊氏是根據《證券條例》註冊為永富證券有限公司(永富)的交易商代表。

這項譴責源自證監會進行的一宗調查,當中發現莊氏在處理永富客戶於1998年8月28日的出售交易的交收時,在未獲得有關客戶授權的情況下,動用了永富現金客戶的股票,以填補其他客戶未能全數交收的短欠數額,因而違反該公司的交收政策,並令致該等現金客戶蒙受不必要的風險。

因此,證監會認為必須公開譴責莊氏的行為。

最後更新日期: 2012年8月1日