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## SFC Publicly Reprimands Ms Kwong Suk Yee and Mr Au Kwok Wan Andrew, both dealing directors of Sun On Tat Securities Company Limited under the Securities Ordinance

15 Jun 2000

The SFC announced today that it had publicly reprimanded Ms Kwong Suk Yee (Kwong) and Mr Au Kwok Wan, Andrew (Au), both dealing directors of Sun On Tat Securities Company Limited (Sun On Tat) under the Securities Ordinance (SO).

The action stemmed from an inquiry covering the period February 1996 to August 1999 in which the SFC found that during that period a person at Sun On Tat had taken client orders whilst being not registered with the SFC. Kwong was responsible for the day to day operation of Sun On Tat and knew of the person's lack of registration but allowed the person to operate in this matter. Au admitted he was negligent in that he knew of that the person was unregistered but took no steps to stop the person taking client orders.

The SFC concluded that the conduct of Kwong and Au impugned their fitness and properness. Accordingly the SFC decided to publicly reprimand them.

Page last updated : 1 Aug 2012

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## 證監會公開譴責根據《證券條例》註冊為新安達證券有限公司的交易董事的鄺淑儀及區國雲

2000年6月15日

證監會今天公布，本會已公開譴責鄺淑儀（鄺氏）及區國雲（區氏）。上述兩人均根據《證券條例》註冊為新安達證券有限公司（新安達）的交易董事。

這項行動源自證監會一宗涵蓋1996年2月至1999年8月的查訊，當中發現在該段期間，新安達內曾有人在並未取得證監會註冊資格的情況下，接收客戶的買賣指示。鄺氏負責新安達的日常運作，亦知悉該人沒有註冊資格，但鄺氏仍容許該人進行上述操作。區氏承認對此事有所疏忽，因為他雖然明知該人未經註冊，但卻沒有採取任何行動阻止該人接收客戶的買賣指示。

證監會認為鄺氏及區氏的操守使人質疑他們是否適宜作為註冊人士，因此決定公開譴責二人。

最後更新日期：2012年8月1日