

SFC Publicly Reprimands Mr Kwan Ka Wing, a Dealer's Representative under the Securities Ordinance

14 Jun 2001

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Kwan Ka Wing (Kwan), a dealer's representative under the Securities Ordinance (SO).

The reprimand stemmed from an inquiry into the conduct of Kwan during the period January 2000 to August 2000 when he was a dealer of ASG Futures Limited (ASG Futures) under the Commodities Trading Ordinance. The inquiry found that Kwan did not make proper inquiry to establish (i) the client's investment experience and objectives, and (ii) the identity of persons authorised to give instructions on behalf of the client prior to the establishment of the account. Kwan's conduct exposed his client and his employer to unnecessary risks.

Kwan had since left ASG Futures on his own accord.

As a result of the above findings, the SFC concluded his conduct above impugned his fitness and propriety as a dealer's representative under the SO and had therefore decided to publicly reprimand him.

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證監會公開譴責根據《證券條例》註冊為交易商代表的關家榮

2001年6月14日

證券及期貨事務監察委員會（證監會）今天公布，本會已公開譴責根據《證券條例》註冊為交易商代表的關家榮（關氏）。

證監會的行動源自本會就關氏在2000年1月至8月期間的操守所進行的查訊，當時關氏是根據《商品交易條例》註冊的亞洲環球期貨有限公司（亞環期貨）的交易員。證監會在查訊中發現關氏在開立客戶帳戶前，未有作出適當的查詢，以確立(i)客戶的投資經驗及目標，及(ii)獲授權代表有關客戶發出買賣指示的人士的身分。關氏的行為使其客戶及僱主蒙受不必要的風險。

此後，關氏已自願離開亞環期貨。

基於上述查訊結果，證監會認為關氏的行為使人質疑其是否適宜根據《證券條例》註冊為交易商代表，因此決定公開譴責關氏。

最後更新日期：2012年8月1日