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SFC Publicly Reprimands Mr Chan Ping Kuen, a Dealer Representative Under the Securities Ordinance

26 Jul 2001

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Chan Ping Kuen (Chan), a dealer's representative of South Capital Brokerage Limited (South Capital) under the Securities Ordinance (SO).

The SFC whilst investigating another matter found that in March 1999 Chan had opened accounts for five persons that he knew were all employees of another broker and when he knew that the five were prohibited by internal staff dealing rules that applied to them, from conducting trading with outside brokers.

Chan's conduct denied his employer the opportunity to seek the written consent of the other broker to the opening of the accounts thereby causing his employer to be in breach of paragraph 12(2) of The Code of Conduct for Persons Registered with the Securities and Futures Commission which provided that " a registered person shall not knowingly deal in securities or futures contracts for another person's employee unless he has written to that registered person and received his written consent".

The SFC concluded that Chan's conduct called into question his fitness and properness and 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陳炳權

2001年7月26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》註冊為南方中天經紀有限公司（南方）交易商代表的陳炳權（陳氏）。

證監會就另一事宜進行調查期間，發現陳氏在1999年3月曾為5名人士開立帳戶。陳氏知悉該5人均為另一家經紀行的僱員，亦知悉根據該等人士的僱主的職員交易內部守則，該等人士不得透過外間的經紀行進行買賣。

陳氏的行為使其僱主無法向另一家經紀行就有關帳戶的開立取得書面同意，因而致使其僱主違反《證券及期貨事務監察委員會註冊人操守準則》第12(2)段的規定。該段規定：“註冊人不得在知情的情況下替另一位註冊人的僱員買賣證券或期貨合約，除非註冊人已發信予該另一位註冊人，並已接獲其書面同意。”

證監會認為陳氏的行為使人質疑其是否適宜獲得註冊資格，並決定公開譴責陳氏。

最後更新日期：2012年8月1日