

SFC Publicly Reprimands Mr Tam Cham Kai and Mr Lau Cheung Man, both Securities Dealing Directors of SEG International Securities (H.K.) Limited (SEG), and Mr Wong Kong Yui, a Director of SEG

23 Aug 2001

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Tam Cham Kai (Tam), Mr Lau Cheung Man (Lau), both registered dealing directors of SEG International Securities (H.K.) Limited (SEG), and Mr Wong Kong Yui (Wong), a director of SEG, under the Securities Ordinance (SO).

The public reprimands stemmed from inquiries covering the period 1 April 1999 to May 2000 when it was found that 6 employees at SEG and Wong solicited clients and handled clients' orders for SEG whilst not registered with the SFC contrary to the registration requirements of the SO.

Tam was the sole dealing director at the time and knew of the unregistered status of these 6 staff and Wong but still approved their activities. Lau, who was at the time a dealer's representative of SEG with the responsibility of supervising all dealing staff, gave approval for staff who he knew to be unregistered to carry out dealing activities for remuneration whilst unregistered.

Wong knowingly solicited clients for SEG and handled client orders whilst not registered and recruited one of the 6 employees concerned to act as a dealer's representative whilst not registered.

The SFC concluded that the above matters impugned the fitness and properness of Tam and Lau. The SFC also concluded that Wong was not a fit and proper person to be a director of SEG. Accordingly the SFC decided to publicly reprimand them.

Page last updated : 1 Aug 2012

證監會公開譴責身為賽格國際證券(香港)有限公司(賽格)證券交易董事的譚湛佳及劉長文，以及身為賽格董事的黃剛裔

2001年8月23日

證券及期貨事務監察委員會(證監會)今天公布，本會已根據《證券條例》公開譴責賽格國際證券(香港)有限公司(賽格)的註冊交易董事譚湛佳(譚氏)及劉長文(劉氏)，以及賽格的董事黃剛裔(黃氏)。

上述的公開譴責源自證監會所進行的一項涵蓋1999年4月1日至2000年5月期間事宜的查訊，當中發現賽格6名僱員及黃氏在未獲證監會註冊的情況下，為賽格招攬客戶及處理客戶的買賣指示，因而違反《證券條例》的註冊規定。

譚氏當時是賽格唯一的交易董事，亦知悉以上6人及黃氏未經註冊的身分，但譚氏仍准許他們進行有關活動。劉氏當時是賽格的交易商代表，負責監督所有交易職員的工作。雖然劉氏知悉上述職員未獲證監會註冊，但仍准許他們進行交易活動，藉以獲取報酬。

黃氏在未經註冊的情況下，為賽格招攬客戶及處理客戶的買賣指示，並聘請上述6名有關僱員的其中一人，讓其在未經註冊的情況下出任為交易商代表。

證監會認為上述事宜使人質疑譚氏及劉氏是否適宜作為註冊人，並認為黃氏不適宜作為賽格的董事，因此決定對他們作出公開譴責。

最後更新日期：2012年8月1日