

SFC Reprimands Miss Wu Yuen Wah

20 Sep 2001

The SFC announced today that it had publicly reprimanded Miss Wu Yuen Wah (Miss Wu), a registered securities dealer's representative of Grand Securities Company Limited (Grand) under the Securities Ordinance and a commodity dealer's representative of Grand Futures Limited under the Commodities Trading Ordinance.

The reprimand stems from an SFC's investigation which revealed that in June 1999 Miss Wu had: -

(a) executed orders for two prospective clients even before those clients had opened accounts with Grand;

(b) in opening an account, failed to make proper inquiry into the true identities of the clients and the beneficial owners of the account;

(c) allowed a third party to operate a client's account without written authorization thereby exposing the client and Grand to financial risk which culminated in substantial loss to Grand; and

(d) signed as witness to a client's signature on the account opening documentation even though she was not present when the client signed the documentation.

On this basis the SFC concluded that Miss Wu's fitness and properness as a registered person has been called into question and decided to publicly reprimand her. An SFC spokesman said: "It is incumbent on registered persons to ensure that accounts opening procedures are followed and information concerning identities of clients and those authorized to give instructions are obtained and properly recorded."

Page last updated : 1 Aug 2012

證監會譴責胡婉華

2001年9月20日

證監會今天公布，本會已公開譴責根據《證券條例》註冊為大唐證券有限公司（大唐）證券交易商代表，和根據《商品交易條例》註冊為大唐期貨有限公司商品交易商代表的胡婉華（胡氏）。

上述的譴責源自證監會的一宗調查。調查發現在1999年6月，胡氏：

(a) 為兩名有意在大唐開戶的客戶執行交易，但實際上該兩名客戶當時仍未在大唐開立帳戶；

(b) 在辦理開戶手續時，未有就客戶和帳戶的實益擁有人的真確身分進行適當的查詢；

(c) 在未取得客戶書面授權的情況下，容許第三者操作該客戶的帳戶，因而使該客戶和大唐蒙受財務風險，最終使大唐招致嚴重虧損；及

(d) 在一名客戶的開戶文件上簽署作為見證人，但實際上當該客戶簽署開戶文件時，胡氏並不在場。

基於上述原因，證監會認為胡氏的行為使人質疑其是否為獲得註冊的適當人選，並且決定公開譴責胡氏。證監會發言人表示：“註冊人有責任確保開戶程序獲得遵循，及取得客戶與獲授權發出買賣指示的人士的身分的資料，以及妥善記錄有關資料。”

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