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Securities and Futures Appeals Panel Suspends the Registrations of William Chim Chun Kwan

4 Oct 2001

The Securities and Futures Appeals Panel (SFAP) has suspended for 6 months Mr William Chim Chun Kwan's (Mr Chim) registrations as a dealer's representative under the Securities Ordinance and the Commodities Trading Ordinance after an appeal by Mr Chim from an SFC decision.

On 8 January 1999, the SFC decided to suspend for 1 year Mr Chim's registrations owing to its findings about his role in his client's trading on 30 and 31 December 1996 in the shares of Renaissance Hotel Group, NV, (RHG) a company listed on the New York Stock Exchange. Mr Chim appealed against this decision.

On appeal, the SFAP upheld the SFC's charge that, at a time when Mr Chim knew or should have known that his client's conduct was possibly illegal or improper, he counselled his client to open a nominee account to frustrate a US investigation into who was purchasing RHG shares. The SFAP stated that it regarded with "considerable disquiet Mr Chim's conduct here as tantamount to an active attempt to assist in the frustration of a serious investigation."

The SFAP dismissed the SFC's findings in relation to two other charges.

As a result, the SFAP decided to suspend Mr Chim's registrations for 6 months.

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證券及期貨事務上訴委員會暫時吊銷詹振坤的註冊

2001年10月4日

證券及期貨事務上訴委員會(上訴委員會)在審議過詹振坤(詹氏)就一項證監會的決定而提出的上訴後，決定暫時吊銷詹氏根據《證券條例》及《商品交易條例》取得的交易商代表註冊，為期6個月。

在1999年1月8日，證監會基於本會就詹氏在其客戶在1996年12月30及31日就紐約證券交易所上市公司Renaissance Hotel Group, NV (RHG)的股份的交易所擔當的角色而進行的調查所得，決定暫時吊銷詹氏的註冊1年。詹氏因此提出上訴。

在上訴過程中，上訴委員會維持證監會提出的其中一項指控。該項指控指詹氏在知悉或理應知悉其客戶的行為可能屬於不合法或不恰當的情況下，仍然慫使該名客戶開立代名人帳戶，藉以阻撓美國的監管當局調查誰人當時正在購買RHG股份的工作。上訴委員會表示其認為“詹氏的行為等同於積極地試圖協助他人阻撓一項重要調查工作的進行，使人感到相當不安。”

上訴委員會推翻了證監會就其他兩項指控的調查結果。

基於上述理由，上訴委員會決定暫時吊銷詹氏的註冊6個月。

最後更新日期：2012年8月1日