

SFC Reprimands Mr Pang Wing Kin

21 Mar 2002

The Securities and Futures Commission (SFC) announces today that it has reprimanded Mr. Pang Wing Kin (Pang), a dealer's representative registered under the Securities Ordinance.

The reprimand follows an inquiry covering the period from May 2001 to June 2001 which revealed that Pang had failed to comply with his employer's internal policies in that:

- he did not request a new client with a cash account to make appropriate cash deposit before he executed orders for that client; and
 - he did not request the same client to sign on the order tickets when the client placed the orders in person.
- The SFC concluded that Pang's conduct fell short of the standard of a registered representative and his fitness and properness to remain as a registered person had been impugned.

An SFC spokesman said: "A registered person should comply with all regulatory requirements applicable to the conduct of its business activities so as to promote the best interests of clients and the integrity of the market. Any internal policies implemented and maintained by a registered person for the proper performance of its business activities should also be observed by its staff. Failure to comply with these internal policies will be regarded seriously by the SFC."

證監會譴責彭永堅

2002年3月21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彭永堅（彭氏）。

上述譴責源自證監會一宗涵蓋2001年5月至6月的查訊。證監會發現彭氏就以下事宜未有遵從其僱主的內部政策：

- 彭氏為一名持有現金帳戶的新客戶執行買賣指示前，未有要求他先存入適量的現金；及
- 上述客戶親身發出買賣指示時，彭氏未有要求他在盤紙上簽署。

證監會認為彭氏的行為未能符合註冊代表的要求水平，而其繼續作為註冊人的適當人選資格亦受到質疑。

證監會發言人表示：“註冊人進行業務活動時，必須遵守一切適用的監管規定，以顧及客戶的最佳利益和確保市場持正操作。註冊人為妥善進行業務活動而實行的內部政策，其僱員亦須遵從。證監會將嚴厲對待未有遵循有關規定的人士。”

最後更新日期：2012年8月1日