
Enforcement News

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4 August 2008

SFC reprimands and fines Chris Chan Pak Kong

The SFC has issued a reprimand to Mr Chris Chan Pak Kong and fined him \$25,000 following a referral of an investigation by the Hong Kong Monetary Authority (HKMA) (Note 1).

The investigation found that Chan concealed his trading activities from his employer by conducting joint trading with a client in six stocks from October 2004 to January 2005.

Chan's conduct breached his employer's staff dealing policy and deprived his employer the opportunity to monitor his trading activities that might be prejudicial to clients and to ensure compliance with the relevant laws.

End

Note:

1. At the relevant time, Chan was engaged by CITIC Ka Wah Bank Limited to carry out Type 1 (dealing in securities) regulated activity.

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證監會譴責陳伯剛並施加罰款

2008年8月4日

證監會經香港金融管理局轉介一宗調查個案後，對陳伯剛(男)作出譴責並罰款25,000元(註1)。

調查發現，陳在2004年10月至2005年1月期間，與一名客戶聯手買賣六隻股票，藉此向僱主隱瞞其交易活動。

陳的行為違反了僱主的職員交易政策，令僱主無法監察其可能損害客戶利益的交易活動，亦未能確保相關法例獲得遵守。

完

備註：

1. 於有關時間，陳獲中信嘉華銀行有限公司聘用以進行第1類(證券交易)受規管活動。

最後更新日期：2012年8月1日