

SFC Takes Action Against Maxson Securities Limited and its Dealing Director

9 Feb 1999

The Securities and Futures Commission announced today that it had publicly reprimanded Maxson Securities Limited (Maxson) and its dealing director, Ms Annie Tsai (Tsai), following an inquiry under section 56 of the Securities Ordinance (SO).

The SFC concluded that Maxson had been guilty of misconduct and that its fitness and properness to remain registered as a securities dealer had been impugned for having failed to submit its audited accounts by the due date thereby breaching section 88(1) of the SO. The SFC noted that this was the third time in succession that Maxson had failed to submit its audited accounts on time.

In view of the fact that Tsai was the directing mind and beneficial owner of Maxson during the period for which the inquiry was conducted, the SFC also concluded that Tsai had likewise been guilty of misconduct and her fitness and properness to remain registered as a securities dealer impugned.

A SFC spokesman, commenting on the action taken, said, "Registered persons are required to submit their audited accounts on time. It is our view that timely lodgement of audited accounts, on the part of the registrants, is an important element to our supervision of the registrants' financial position and we would regard any late submission of audited accounts most seriously. The SFC will take disciplinary actions against those registrants who fail to comply with applicable statutory requirements."

Page last updated : 1 Aug 2012

證監會對萬誠證券有限公司及其交易董事採取行動

1999年2月9日

證券及期貨事務監察委員會今天公布，本會已對萬誠證券有限公司(萬誠)及其交易董事蔡三妮(蔡氏)作出公開譴責。證監會是繼其根據《證券條例》第56條進行查訊後而作出上述的行動。

鑒於萬誠未有在規定期限屆滿前將其經審計帳目提交證監會，因而違反《證券條例》第88(1)條的規定，證監會認為萬誠行為失當，而其是否適宜根據《證券條例》繼續獲准註冊為證券交易商一事亦受到質疑。證監會注意到，今次是萬誠連續第三次未有依時提交其經審計帳目。

鑒於蔡氏在該宗查訊涵蓋的期間為萬誠的決策人兼實益擁有人，證監會因此斷定蔡氏同樣行為失當，而其是否適宜根據《證券條例》繼續獲准註冊為證券交易商一事亦受到質疑。

證監會一名發言人評論上述公開譴責行動時表示：“註冊人必須依時提交其經審計帳目予證監會。我們認為，註冊人依時提交其經審計帳目一事，是證監會對註冊人的財政狀況實施的監督工作的重要一環，而證監會將十分嚴厲看待任何未有依時提交經審計帳目的事件，並且將會對未能遵守適用的法規的註冊人採取紀律處分。”

最後更新日期：2012年8月1日