

## SFC Reprimands Siu Kai Yee

27 May 1999

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Siu Kai Yee (Siu), a registered dealer's representative of Grand Onward Securities Limited under the Securities Ordinance.

The reprimand stems from an investigation in which the SFC found that during October 1993 to January 1994, Siu has used his wife's account with Tai Shing Stock Investment Company (Tai Shing) as his own nominee account.

As a result of Siu's failure to disclose his interest to Tai Shing, Tai Shing was unable to comply with Code 12.2 of the Code of Conduct for Persons Registered with the SFC, which required a broker to write to the other broker to seek its prior written consent before dealing in securities for that second broker's employee. In addition, it also resulted in Grand Onward being unable to monitor the trading of its employee.

Page last updated : 1 Aug 2012

## 證監會譴責蕭啟義

1999年5月27日

證券及期貨事務監察委員會〔證監會〕公天公布，已公開譴責根據《證券條例》註冊的金安華證券有限公司交易商代表蕭啟義〔蕭氏〕。

該項譴責源自一項查訊，當中證監會發現在1993年10月至1994年1月期間，蕭氏使用其妻子在大盛證券投資公司〔大盛〕的帳戶作為其本人的代名人帳戶。

由於蕭氏未有向大盛披露其在上述帳戶的權益，大盛未能遵守《證券及期貨事務監察委員會註冊人操守準則》第12.2段，要求經紀在替另一名經紀的僱員進行證券交易之前，必須以書面方式要求該另一名經紀事先就此給予書面同意的規定。此外，此舉亦導致金安華未能監察其僱員的交易。

最後更新日期：2012年8月1日