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SFC Reprimands Kwok Kam Chung George

3 Jun 1999

The SFC announced today that it had publicly reprimanded Mr Kwok Kam Chung, George (Kwok), a registered securities dealer's representative under the Securities Ordinance (SO).

The reprimand stemmed from an inquiry under section 56 of the SO in which it was found that during the period April to November 1998, Kwok had:

(a) knowingly allowed a nominee account to be opened with his principal, thereby exposing his principal to risk has there been any dispute in regards to trades booked to that account; and

(b) failed to ensure a client had sufficient shares to settle her sales orders prior to their execution.

A spokesman of the SFC said that the above matters impugned Kwok's fitness and properness as a registered person.

Page last updated : 1 Aug 2012

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證監會譴責郭金鐘

1999年6月3日

證監會今天公布，已公開譴責一名根據《證券條例》註冊的交易商代表郭金鐘（郭氏）。

這項譴責源自一宗根據《證券條例》第56條進行的查訊，當中發現在1998年4月至11月期間，郭氏：

(a) 明知一個帳戶屬代名人帳戶，仍允許該帳戶在其僱主的公司開戶。郭氏此舉將會令其僱主蒙受風險，如記入該帳戶的交易出現任何爭議；及

(b) 在未有確保一名客戶擁有交收其賣盤所需的股份之前，便替該客戶執行有關的賣盤。

證監會的發言人表示上述事宜使人質疑郭氏作為註冊人士的適當人選資格。

最後更新日期：2012年8月1日