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SFC Publicly Reprimands Mr Kong Wai Man, a Dealer's Representative under the Securities Ordinance

26 Apr 2000

The SFC announced today that it had publicly reprimanded Mr Kong Wai Man (Mr Kong), a dealer's representative under the SO.

The action stemmed from an inquiry into Mr Kong's conduct whilst registered as a dealer's representative of Cheung's Securities Brokers Limited (Cheung's). The inquiry found that during the period March 1997 to December 1997, Mr Kong had knowingly breached the registration requirements of the SO by facilitating unregistered dealing by persons not registered with the SFC.

As a result of the above findings, the SFC concluded that Mr Kong's fitness and properness had been impugned and decided to publicly reprimand him. In deciding on the public reprimand, the SFC took into consideration that Mr Kong had pleaded guilty at the North Kowloon Magistrate's Court to various breaches of the registration requirements under the SO and had been fined.

Page last updated : 1 Aug 2012

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證監會譴責根據《證券條例》註冊的交易商代表 江煒文

2000年4月26日

證監會今天公布，本會已公開譴責根據《證券條例》註冊的交易商代表江煒文（江氏）。

這項行動源自證監會就江氏註冊作為張氏証券有限公司（張氏証券）的交易商代表的期間的操守進行的查訊。該項查訊發現在1997年3月至1997年12月的期間，江氏利便若干未有在證監會註冊的人士進行無牌交易，因而違反《證券條例》的註冊規定。

基於上述的查訊結果，證監會認為江氏是否適宜作為註冊人士一事已受到質疑，因此決定公開譴責江氏。在決定公開譴責江氏時，證監會已考慮到江氏已在北九龍裁判法院承認以多項有關違反《證券條例》的註冊規定的控罪，並且已被法院判處罰款。

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