

SFC Reprimands Lau Yik Kwan

15 Jun 2000

The Securities and Futures Commission (SFC) announced today that it had reprimanded Mr Lau Yik Kwan (Lau) as a dealer's representative registered under the Securities Ordinance and as a commodity dealer's representative registered under the Commodities Trading Ordinance.

The reprimand stems from an inquiry which revealed that on 12 January 1998 Lau:

- permitted 2 clients to open accounts with his employer, Get Nice Investment Limited (Get Nice), without properly completing account opening procedures; and
- took orders from a third party who had not been authorized by the clients in writing to operate their accounts.

In reaching this decision the Commission took into consideration that Lau had admitted he had been reckless in carrying out his duties and had expressed regret for his conduct.

Page last updated : 1 Aug 2012

證監會譴責劉奕群

2000年6月15日

證券及期貨事務監察委員會(證監會)今天公布,本會已公開譴責劉奕群(劉氏)。劉氏根據《證券條例》與《商品交易條例》分別註冊為證券交易商代表及商品交易商代表。

上述譴責源自證監會的一宗調查,當中發現在1998年1月12日,劉氏:

- 容許兩名客戶在未有妥當地完成開戶程序的情況下,與劉氏的僱主結好投資有限公司(結好)開立帳戶;及
- 接受第三者的買賣指示,但該等人士並未獲得有關客戶以書面方式授權他們操作有關的帳戶。

證監會在作出上述決定時,已顧及到劉氏承認其在履行職責時罔顧後果,並且對自己的行為深表遺憾等因素。

最後更新日期:2012年8月1日