

Enforcement Actions

28 September 2000

SFC Publicly Reprimands Mr Lau Yiu Kan, a dealer's representative of Asia Financial (Securities) Limited under the Securities Ordinance

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Mr Lau Yiu Kan (Lau), a dealer's representative of Asia Financial (Securities) Limited (AF) under the Securities Ordinance.

The reprimand stems from an investigation in which the SFC found that on 4 May 1998, Lau arranged a private placement in the shares of GKC Holdings Limited (GKC) for AF's clients to subscribe at a discount price of \$0.95 per share. When obtaining approval for the transaction from his employer, he informed his employer that the placement price was \$1.18 per share. His action misled his employer about the price of the placement. The SFC concluded Lau's conduct impugned his fitness and properness and decided to publicly reprimand him.

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證監會公開譴責根據《證券條例》註冊為亞洲乾昌證券有限公司交易商代表的劉耀根

2000年9月28日

證券及期貨事務監察委員會（證監會）今天公布，本會已公開譴責根據《證券條例》註冊為亞洲乾昌證券有限公司（亞洲乾昌）交易商代表的劉耀根（劉氏）。

上述譴責源自證監會的一項調查，當中發現劉氏在1998年5月4日就威樂控股有限公司（威樂）股份安排私人配售，令亞洲乾昌的客戶能夠以折扣價每股0.95元的價格認購有關股份。當劉氏就上述交易向其僱主尋求批准時，他告知其僱主有關的配售價為每股1.18元，從而誤導其僱主有關配售股份的價格。證監會認為劉氏的行為令人懷疑其是否為繼續獲得註冊的適當人選，並決定對他作出公開譴責。

最後更新日期：2012年8月1日