

SFC Publicly Reprimands Miss Kwai Yee Man Ida, a Dealer's Representative under the Securities Ordinance and a Commodity Dealer's Representative under the Commodities Trading Ordinance

19 Apr 2001

The SFC announced today that it had publicly reprimanded Miss Kwai Yee Man, Ida (Kwai), a dealer's representative under the Securities Ordinance and a commodity dealer's representative under the Commodities Trading Ordinance.

The reprimand stems from an inquiry in which the SFC found that Kwai, during the period from April 1997 to June 2000 while employed by Seapower Futures Limited, Seapower Securities Limited, KGI Seapower Futures Limited, KGI Seapower Securities Limited, Shenyin Wanguo Securities (HK) Limited and Shenyin Wanguo Futures (H.K.) Limited, had conducted her own trading through her relatives' accounts, contrary to the staff dealing policies of her employers.

As a result of the above findings, the SFC concluded that Kwai's fitness and properness had been impugned and decided to publicly reprimand her.

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證監會公開譴責根據《證券條例》及《商品交易條例》分別註冊為交易商代表及商品交易商代表的桂綺雯

2001年4月19日

證監會今天公布，本會已公開譴責根據《證券條例》及《商品交易條例》分別註冊為交易商代表及商品交易商代表的桂綺雯（桂氏）。

證監會的行動源自一項查訊，當中發現桂氏在1997年4月至2000年6月受僱於海裕期貨有限公司、海裕證券有限公司、凱基海裕期貨有限公司、凱基海裕證券有限公司、申銀萬國證券(香港)有限公司及申銀萬國期貨(香港)有限公司期間，透過親友的帳戶進行自己的買賣，有違其僱主的職員交易政策。

基於以上查訊所得，證監會認為桂氏的行為使人質疑其是否適宜作為註冊人，因而決定作出公開譴責。

最後更新日期：2012年8月1日