

SFC Reprimands Mazie Tsoi Siu Lan

23 Mar 2000

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Ms Mazie Tsoi Siu Lan (Tsoi), who was a registered dealer's representative of Dao Heng Securities Ltd (DHS) from 13 July 1994 to 4 August 1999.

The reprimand stemmed from an inquiry under section 56 of the Securities Ordinance in which it was found that between June 1996 and August 1999, Tsoi operated securities trading accounts, in which she had an interest, with both DHS and three additional brokers. Despite the fact that in March 1998 DHS introduced Employees Dealing Rules and in December 1998 Tsoi received a copy of these rules which expressly forbade employees from trading via outside brokers without first seeking DHS's approval, she continued to operate these accounts without either notifying or seeking the approval of DHS. Accordingly, Tsoi has been reprimanded for failing:

- (a) to notify the three separate brokers of her employment with DHS thereby depriving them of the opportunity, in compliance with clause 12.2 of the Code of Conduct for Persons Registered with the Securities and Futures Commission, of seeking the written consent of DHS before dealing in securities on her behalf;
- (b) to notify DHS of her operation of accounts with outside brokers despite being aware of the fact that she was required to seek the prior approval of DHS, before doing such; and
- (c) to notify DHS of her interest in a number of accounts maintained with it thereby denying DHS the opportunity to monitor her trading activities.

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證監會公開譴責蔡小蘭

2000年3月23日

證券及期貨事務監察委員會(證監會)今天宣布公開譴責蔡小蘭(蔡氏)。蔡氏在1994年7月13日至1999年8月4日期間為道亨證券有限公司(道亨證券)的交易商代表。

該項譴責行動源自證監會根據《證券條例》第56條進行的查訊。有關查訊發現，在1996年6月至1999年8月期間，蔡氏經其開設在道亨證券及另外三家經紀行、並由其擁有個人利益的賬戶進行證券交易。雖然道亨證券在1998年3月已訂立員工交易規則，而蔡氏亦在1998年12月接獲該份規則的副本，且有關規則明文禁止員工在未得公司的事先批准下透過其他經紀行買賣證券，但蔡氏仍沒有知會其僱主或尋求其僱主的批准，繼續操作該等賬戶。因此，基於下述情況，證監會決定公開譴責蔡氏：

(a) 蔡氏未有知會其他三家經紀行其本人受僱於道亨證券，因而令該等經紀商無法遵守《證券及期貨事務監察委員會註冊人操守準則》第12.2條的規定。根據有關規定，該等經紀商須在為蔡氏處理其證券交易之前首先取得道亨證券就此給予的書面同意；

(b) 即使蔡氏已知道須事先取得道亨證券的同意，但仍沒有知會道亨證券有關其開設於其他經紀行並由其操作的賬戶；及

(c) 蔡氏未有知會道亨證券有關其在道亨證券所開設的多個賬戶，而其本人在這些賬戶擁有個人利益，因而令道亨證券無法監察蔡氏證券交易活動。

最後更新日期：2012年8月1日