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SFC Publicly Reprimands Wong Kwok Biu

14 Sep 2000

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Wong Kwok Biu (Wong) under the Securities Ordinance.

The reprimand stemmed from an investigation into the unusual trading activities of the shares of Chi Cheung Investment Company Limited (Chi Cheung) between July and September 1998. At the time Wong was a director of EAA Securities Limited (EAA) and registered as a dealing director with the SFC. During its investigation the SFC identified a number of clients of EAA who had traded heavily in Chi Cheung shares. Further investigation revealed that the trading had in fact been carried out by only one client and that Wong had arranged for this client's trades to be booked to accounts of Wong's friends and relatives at EAA. These accounts were therefore nominee accounts.

Wong had a duty to act with due skill, care and diligence in the best interests of his clients and the integrity of the market. The SFC found that by his actions Wong had seriously breached this duty. As Wong had left EAA and is no longer registered with the SFC, the SFC has decided to reprimand Wong.

Page last updated : 1 Aug 2012

證監會譴責王國標

2000年9月14日

證券及期貨事務監察委員會（證監會）今天公布，本會已根據《證券條例》公開譴責王國標（王氏）。

上述譴責源自證監會就1998年7月至9月期間至祥置業有限公司（至祥）股份的不尋常交易而進行的調查。當時王氏是東美證券有限公司（東美）的董事，而且亦在本會註冊為交易董事。證監會發現在調查期間該公司若干客戶大量買賣至祥股份。證監會在進一步調查中發現有關交易其實只由一名客戶進行，而王氏則安排將該名客戶的交易記入王氏的親朋在東美開立的帳戶。這些帳戶因此亦屬於代名人帳戶。

王氏有責任以適當的技能、小心審慎和勤勉盡責的態度行事，以維護客戶的最佳利益及確保市場持正操作。證監會發覺王氏的行為嚴重違背其上述的責任。由於王氏已離開東美，而且亦不再是證監會的註冊人，本會因此決定譴責王氏。

最後更新日期：2012年8月1日