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## SFC Publicly Reprimands Hung Man Hung Sindy

26 Oct 2000

The SFC announced today that it had publicly reprimanded Ms Hung Man Hung, Sindy (Hung), a registered dealer's representative under the Securities Ordinance.

The reprimand stemmed from an inquiry covering the period from May 1999 to February 2000 when Hung was a registered dealer's representative of Tung Tai Securities Company Limited (Tung Tai) and Phillip Securities (HK) Limited (Phillip).

The investigation found that Hung had operated a securities trading account with an outside broker during her employment with Tung Tai and Phillip without first seeking their approval in breach of their staff dealing policies. Hung also failed to notify the outside broker of her employment with Tung Tai and Phillip, which resulted in the outside broker failing to seek the written consent of Tung Tai and Phillip before dealing in securities on her behalf in accordance with clause 12.2 of the Code of Conduct for Persons Registered with the Securities and Futures Commission.

Hung's conduct meant that Tung Tai and Phillip were unable to properly monitor her trading.

Page last updated : 1 Aug 2012

## 證監會公開譴責孔敏紅

2000年10月26日

證監會今天公布，本會已公開譴責根據《證券條例》註冊的交易商代表孔敏紅（孔氏）。

上述譴責行動源自證監會一宗涵蓋1999年5月至2000年2月的調查，當時孔氏為東泰證券有限公司（東泰）及輝立証券（香港）有限公司（輝立）的註冊交易商代表。

證監會的調查發現孔氏在受僱於東泰及輝立的期間，在未有事先取得上述兩家公司的同意的情况下，在另一家經紀行開立證券戶口，因而違反該兩家公司的員工交易規則。此外，孔氏亦未有知會該另一家經紀行其受僱於東泰及輝立一事，因而導致該另一家經紀行無法遵守《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，在其替孔氏買賣證券之前，事先取得東泰及輝立的書面同意。

孔氏的行為使東泰及輝立無法妥善地監察其證券交易活動。

最後更新日期：2012年8月1日