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SFC Suspends the Registration of Mr Kwong Kin Fai Anthony, a Dealer's Representative under the Securities Ordinance

26 Apr 2001

The Securities and Futures Commission (SFC) announced today that it had suspended the registration of Mr Kwong Kin Fai, Anthony (Kwong), a dealer's representative under the Securities Ordinance for a period of 3 weeks.

The suspension followed an inquiry in which the SFC found that Kwong, a dealer's representative of South China Securities Limited had, by furnishing to an unregistered employee details of another employee, enabled the unregistered employee to dishonestly gain access to the trading hall of the Stock Exchange of Hong Kong Limited and to execute orders in contravention of the registration requirements of section 50 of the Securities Ordinance.

The SFC concluded that Kwong's actions impugned his fitness and properness and decided to suspend his registration. In considering the period of suspension, the SFC had taken into account that at the time of the event Kwong acted thoughtlessly at a time of heavy trading activity and staff shortages due to illness.

Page last updated : 1 Aug 2012

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證監會暫時吊銷根據《證券條例》註冊的交易商代表鄭建輝的註冊

2001年4月26日

證券及期貨事務監察委員會（證監會）今天公布，本會已暫時吊銷根據《證券條例》註冊的交易商代表鄭建輝（鄭氏）的註冊，為期3個星期。

證監會發現身為南華證券投資有限公司的交易商代表的鄭氏，曾向一名未經註冊的僱員提供另一名僱員的詳細資料，從而使該名未經註冊的僱員得以透過不誠實的方法進入香港聯合交易所有限公司的交易大堂執行買賣盤，因而違反《證券條例》第50條的註冊規定。

證監會認為鄭氏的行為使人質疑其作為註冊人士的適當人選資格，因此決定暫時吊銷其註冊。在考慮暫時吊銷其註冊的時限時，證監會顧及到事發當時交投旺盛及該公司因其僱員生病而出現人手短缺，故鄭氏未有深思熟慮而作出有關的行動。

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