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## SFC Reprimands Ms Shiu Lai On Ann

22 Jun 2001

The Securities and Futures Commission (SFC) announced today that it had publicly reprimanded Ms Shiu Lai On Ann (Shiu), a registered securities dealer's representative of Ever-Long Securities Company Limited (Ever-Long), under the Securities Ordinance.

The SFC found that Shiu used her mother's account at Ever-Long to trade shares without her employer's written authorization.

Shiu had also failed to verify the identities of a number of her clients and allowed unauthorized persons to trade for and on behalf of these clients. She had also signed account opening forms witnessing clients' signatures when she had not met these clients. In view of the above findings the SFC has publicly reprimanded Shiu.

Page last updated : 1 Aug 2012

## 證監會譴責邵麗安

2001年6月22日

證券及期貨事務監察委員會（證監會）今天公布，本會已公開譴責根據《證券條例》註冊為長雄證券有限公司（長雄）的註冊證券交易商代表邵麗安（邵氏）。

證監會發現邵氏在未有取得其僱主的書面授權的情況下，利用其母親於長雄開立的帳戶進行股份交易。

邵氏亦在未有核證若干客戶的身分的情況下，允許未獲授權的人士替該等客戶進行交易。此外，雖然邵氏從未與有關客戶會面，但卻在開戶表格上簽署，表示其在場見證有關客戶簽署該等表格。

基於上述查訊結果，證監會決定公開譴責邵氏。

最後更新日期：2012年8月1日