

## SFC Publicly Reprimands Mr Wong Chi Chiu Alie

29 Jun 2001

The SFC announced today that it had publicly reprimanded Mr Wong Chi Chiu, Alie (Alie Wong), a registered securities dealer's representative under the Securities Ordinance and a registered commodity dealer under the Commodities Trading Ordinance. Alie Wong is an associate director, account executive and in-house dealer of Interchina (Makindo) Securities Limited (formerly Makindo Securities (Hong Kong) Limited) (Makindo).

The reprimand stemmed from an investigation into trading conducted in September 1999. The SFC found that Alie Wong failed to properly record the time at which clients' dealing instructions were received or the order in which such dealing instructions were received in direct contravention of Makindo's internal guidelines.

The SFC concluded that Alie Wong's fitness and properness has been impugned and decided to publicly reprimand him. In deciding on this course of action, the SFC took into account that Alie Wong has assisted in the improvement of Makindo's system and has been co-operative with the Commission's inquiry.

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