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SFC Suspends the Registration of Chiu Kam Yuen

21 Dec 2000

The Securities and Futures Commission (SFC) announced today that it had suspended the registration of Mr Chiu Kam Yuen (Chiu), a dealer's representative under the Securities Ordinance, for one month.

The SFC's action stemmed from an investigation into his dealings on 28 May, 1 June and 2 June 1998 in the shares of China Merchants China Direct Investments Holdings Limited. It was found that on each of these days Chiu had, near the close of trading, placed a single board-lot buy order recklessly without regard to the fact that such orders would be likely to raise the closing price of the shares. His conduct had the effect of distorting the actual market price of the shares and was prejudicial to the integrity of the market.

Therefore, the SFC concluded that Chiu had been guilty of misconduct and his fitness and properness to remain registered was impugned.

Page last updated : 1 Aug 2012

證監會暫時吊銷趙錦源的註冊

2000年12月21日

證券及期貨事務監察委員會（證監會）今天公布，本會已暫時吊銷趙錦源（趙氏）根據《證券條例》獲發給的交易商代表的註冊，為期1個月。

證監會的行動源自一宗對趙氏於1998年5月28日、6月1日及2日買賣招商局中國基金有限公司股份一事而進行的調查。當中發現趙氏在上述日期接近收市的時間，發出買入一手有關股份的指示，而趙氏未有顧及到此舉很可能會推高上述股份的收市價。趙氏的行為有扭曲上述股份的實際市價的效果，亦有損市場的持正操作。

因此，證監會認為趙氏行為失當，而趙氏的行為亦使人質疑其是否獲准註冊的適當人選。

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