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SFC Takes Actions Against Ms Chan Yin King and Mr Wong Siu Chuen

26 Apr 2001

The SFC announced today that it had reprimanded Ms Chan Yin King (Chan) and Mr Wong Siu Chuen (Wong) under the Securities Ordinance. Chan and Wong are both securities dealer's representatives of Phillip Securities (HK) Limited.

The SFC's actions stemmed from an investigation into suspected unregistered securities dealing activities. The SFC found that during the period from May 1999 to November 1999, Chan and Wong had:

- assisted an unregistered person in conducting his unregistered activities; and
- breached the provisions of Rule 534(2) of the Rules of the Stock Exchange Hong Kong Limited which provides that no Exchange Participant or Dealing Partnership shall give any rebate of any kind to any person for the purpose of circumventing or evading any minimum brokerage requirement. Therefore, the SFC concluded that the fitness and properness of Chan and Wong was impugned.

Page last updated : 1 Aug 2012

證監會對陳燕琮及黃兆泉採取行動

2001年4月26日

證監會今天公布，本會已根據《證券條例》譴責陳燕（陳氏）及黃兆泉（黃氏）。陳氏及黃氏均為輝立證券（香港）有限公司的證券交易商代表。

證監會的行動源自一宗涉嫌無牌證券交易活動的查訊，當中發現陳氏及黃氏在1999年5月至1999年11月期間：

- 協助一名未經註冊的人士進行交易活動；及
- 違反《聯合交易所有限公司規則》第534(2)條的規定。該規則規定交易所參與者或證券合夥商號不得為迴避或避免任何最低經紀佣金規定，而給予任何人任何形式的回佣。因此，證監會認為陳氏及黃氏的行為使人質疑他們是否適宜作為註冊人。

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