

SFC Reprimands Yick Chi Kin Kerry

3 Dec 1998

The Securities and Futures Commission announced today that it had publicly reprimanded Mr Yick Chi Kin, Kerry (Yick), who was registered as a securities dealer's representative of Foreground Securities Company Limited (Foreground) under the Securities Ordinance (SO).

The SFC conducted an inquiry under section 56 of the SO which revealed that during February to September 1997, Yick had:

- (a) knowingly facilitated two persons to open nominee accounts with Foreground; and
- (b) breached Code 12.2 of the Commission's Code of Conduct in that he had knowingly dealt in securities for two employees of another registered person without having first sought the written consent of that other registered person.

A spokesman of the SFC said that the above matters impugned Yick's fitness and properness as a registered person.

Page last updated : 1 Aug 2012

證監會譴責易智堅

1998年12月3日

證券及期貨事務監察委員會今天公布，本會已公開譴責根據《證券條例》註冊為福廣證券有限公司(福廣)的證券交易商代表易智堅(易氏)。

證監會較早前根據《證券條例》第56條進行查訊後，發現在1997年2月至9月期間，易氏：

(a) 明知而利便兩名人士在福廣開立代名人帳戶；及

(b) 在並無事先取得另一名註冊人的書面同意下，明知而替該名註冊人的兩名僱員買賣證券，因而違反證監會執行的《操守準則》第12.2條的規定。

證監會的發言人表示，上述事宜使人質疑易氏是否為取得註冊的適當人選。

最後更新日期：2012年8月1日