

## SFC Reprimands Deng Hai Tao

29 Jul 1999

The Securities Futures Commission (SFC) announced today that it had publicly reprimanded Mr. Deng Hai Tao (Mr. Deng), who was registered as a securities dealer's representative of Prudential-Bache Securities (HK) Limited under the Securities Ordinance (SO).

The SFC conducted an inquiry under S.56 of the SO which revealed that during December 1997 to July 1998, Mr. Deng had engaged in short selling, and on 9 March 1999 he was fined \$38,000 in Western Magistracy in respect of 19 representative summonses.

On this basis, the SFC concluded that Mr. Deng had been guilty of misconduct and his fitness and properness as a registered person has been impugned.

Page last updated : 1 Aug 2012

## 證監會譴責鄧海濤

1999年7月29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》註冊為美國培基證券有限公司的證券交易商代表的鄧海濤(鄧氏)。

證監會根據《證券條例》第56條進行查訊時發現鄧氏在1997年12月至1998年7月期間曾賣空證券。鄧氏在1999年3月9日於西區裁判法院就19項代表性控罪被判罰款38,000元。

證監會認為鄧氏行為失當,而其作為註冊人士的適當人選資格亦因此而受到質疑。

最後更新日期:2012年8月1日