

## SFC Publicly Reprimands Mr Tse Chi Him, a Dealer's Representative under the Securities Ordinance and a Commodity Dealer's Representative under the Commodities Trading Ordinance

19 Apr 2001

The SFC announced today that it had publicly reprimanded Mr Tse Chi Him (Tse), a dealer's representative under the Securities Ordinance and a commodity dealer's representative under the Commodities Trading Ordinance.

The reprimand stems from an inquiry in which the SFC found that Tse, during the period from April 1997 to June 2000, while employed by Seapower Futures Limited, Seapower Securities Limited, KGI Seapower Futures Limited, KGI Seapower Securities Limited, Shenyin Wanguo Securities (HK) Limited and Shenyin Wanguo Futures (HK) Limited as an account executive, had -

- (a) allowed a third party to operate one of his clients' accounts without obtaining written authorization from that client in contravention of the internal rules of his employers; and
- (b) allowed the trading by the third party through his client's accounts, in contravention of the staff dealing policies of his employers.

As a result of the above findings, the SFC concluded that Tse's fitness and properness had been impugned and decided to publicly reprimand him.

Page last updated : 1 Aug 2012

## 證監會公開譴責根據《證券條例》及《商品交易條例》分別註冊為交易商代表及商品交易商代表的謝智謙

2001年4月19日

證監會今天公布，本會已公開譴責根據《證券條例》及《商品交易條例》分別註冊為交易商代表及商品交易商代表的謝智謙（謝氏）。

證監會的行動源自一項查訊，當中發現謝氏在1997年4月至2000年6月，於海裕期貨有限公司、海裕證券有限公司、凱基海裕期貨有限公司、凱基海裕證券有限公司、申銀萬國證券(香港)有限公司及申銀萬國期貨(香港)有限公司任職客戶主任期間，曾經：

- (a) 未有事先獲得一名客戶的書面授權而容許第三者操作該客戶的帳戶，有違其僱主的內部規則；
- (b) 容許該第三者透過其客戶帳戶進行買賣，有違其僱主的職員交易政策。

基於以上查訊所得，證監會認為謝氏的行為使人質疑其是否適宜作為註冊人，因而決定作出公開譴責。

最後更新日期：2012年8月1日