

SFC Reprimands and Fines Wong Tung Ching \$210,000

6 Dec 2006

The SFC has issued a reprimand to Mr Wong Tung Ching and fined him \$210,000 following an investigation (Note 1).

The SFC found that Wong recklessly represented in the account opening documents of five clients that he had witnessed the signing of the account opening documents by the clients and inspected their original identity documents when in fact he had not.

In deciding the penalty, the SFC took into account the fact that Wong consented to the SFC's decision.

Ends

Note:

1. Wong is licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) and Type 6 (advising on corporate finance) regulated activities. He is a responsible officer accredited to Guotai Junan Securities (Hong Kong) Limited and a licensed representative accredited to Guotai Junan Capital Limited.