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Profile

Search Summary

Date of Search : 05-Jan-2018 11:59:29 (05-Jan-2018 03:59:29 GMT)

Profile ID Number: 2989118

Record Type: Person

Gender: Female

Deceased: No

Names

Primary Name

First Name

Wai Chun

Language

Chinese - Simplified

Chinese - Traditional

Surname

Tang

Original Script Name

邓惠珍

鄧惠珍

Also Known As

Huizhen

Deng

Country Details

Citizenship

Not Known

Resident Of

Hong Kong

List References

Other Official Lists

Name

Securities & Futures Commission (HK) Enforcement Actions

Since

05-Dec-2013

D

DOW JONES WATCHLIST

Status: Active

Category 1: Special Interest Person (SIP)

Category 2: Other Official Lists

Profile Notes

Source Language: English

Translate (Beta)

HONG KONG SECURITIES & FUTURES COMMISSION NOTES:

5 Dec 2013 - SFC reprimands and fines broker for breaching telephone recording requirements

https://djrc.dowjones.com/PersonDetailsInternet.aspx?PersonEntityID=QTMSOYXWlsn1IbCdPT5ZPMecWE3BGe9dVbSIVTHX95deF+8mLgs=&i... 1/2

The Securities and Futures Commission (SFC) has reprimanded Ms Tang Wai Chun, an account executive of China Merchants Securities (HK) Co., Limited (China Merchants), and fined her \$40,000 for non-compliance with order recording requirements under the Code of Conduct (Notes 1 & 2).

The disciplinary action follows an SFC investigation which found that between 22 December 2010 and 24 January 2011, Tang did not use China Merchant's Centralized Telephone Recording System (CTRS) to record order instructions from a client. Instead, Tang accepted order instructions from the client via her mobile phone. Tang was obliged but failed to record the time of receipt of the orders and the order details by making a call to the CTRS or in writing by hand.

Order details must be properly recorded so as to protect the interests of clients.

In deciding the disciplinary sanction, the SFC took into account all relevant circumstances, including Tang's clean disciplinary record.

End

Notes:

- 1.Tang is licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) and Type 2 (dealing in futures contracts) regulated activities.
- 2.Paragraph 3.9 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.
- 3.A copy of the Statement of Disciplinary Action in relation to the matter is available on the SFC website.

Sources

<http://sc.sfc.hk/gb/www.sfc.hk/edistributionWeb/gateway/TC/news-and-announcements/news/enforcement-news/doc?refNo=13PR118>
<http://www.sfc.hk/edistributionWeb/gateway/EN/news-and-announcements/news/enforcement-news/doc?refNo=13PR118>
<http://www.sfc.hk/edistributionWeb/gateway/TC/news-and-announcements/news/enforcement-news/doc?refNo=13PR118>
<http://www.sfc.hk/sfcPressRelease/EN/sfcEnforceNewsServlet>
http://www.sfc.hk/web/files/ER/PDF/13PR118_statement.pdf

Last Reviewed Date:

05-Dec-2013



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