


































































































































































































# 금융위원회

## 의결 제2022-357호

### 1. 조치대상자의 인적사항

제재대상	내용(회사명, 성명 등)
임직원	<p>  , 前 ,  ,  ,  ,  前 , 前... , 前 , 前 ,  前 ,  ,  ,  ,  前 ,  ,  ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前 ,  前 ,  , 前</p>

◁ ◁ ◁	과태료 4.5백만원	과태료 3.6백만원
◁ ◁ ◁	과태료 7.5백만원	과태료 6백만원
◇ ◇ ◇	과태료 16.5백만원	과태료 13.2백만원
● ● ●	과태료 6백만원	과태료 4.8백만원
○ ○ ○	과태료 11백만원	과태료 8.8백만원
⊖ ⊖ ⊖	과태료 4.5백만원	과태료 3.6백만원
● ● ●	과태료 3백만원	과태료 2.4백만원
● ○ ●	과태료 25백만원	과태료 25백만원
● ● ●	과태료 9백만원	과태료 7.2백만원
● ● ●	과태료 5백만원	과태료 4백만원

### 3. 조치이유

#### 가. 지적사항

##### 1. 임직원의 금융투자상품 매매제한 위반

- 메리츠증권 임직원 등은타사에 개설된 본인명의 계좌를 이용하여 자기의 계산으로 상장주식을 매매하거나 타인명의 계좌를 이용하여 자기의 계산으로 상장주식을 매매하면서, 소속 회사에 계좌개설 사실 및 분기별(월별) 매매명세를 통지하지 않고, 탈법행위를 목적으로 타인의 실명으로 금융거래를 한 사실이 있음
- (수정심의 사유) 임직원의 금융투자상품 매매제한 위반에 대해 회사 자체감사를 통하여 징계가 이루어진 임직원의 경우 「검사및제재에관한 규정」 제26조 개정('20.5.13.) 취지를 고려하여 내부통제 활성화 차원에서 과태료 20%를 감경

#### 나. 근거법규

- 「자본시장과금융투자업에관한법률」 제63조 제1항, 제449조 제2항
- 「자본시장과금융투자업에관한법률 시행령」 제64조 제2항 및 제4항, 제390조, [별표22]
- 「금융실명법」 제3조 제3항