

SFC Takes Action Against Mak Chun Sang Jimmy

28 Jun 2001

The Securities and Futures Commission (SFC) announced today that it had reprimanded Mr Mak Chun Sang, Jimmy (Mak), under section 56 of the Securities Ordinance and under section 36 of the Commodities Trading Ordinance.

The SFC's actions stemmed from an investigation into suspected unregistered dealing activities at Core Pacific-Yamaichi International (HK) Limited (CPYI) and Core Pacific-Yamaichi Securities (HK) Limited (CPYS) during the period of March 1998 and January 1999. The SFC found that Mak as a dealer representative of CPYI and CPYS had:

- allowed his name and account executive code to be used by unregistered staff to book their trades; and
- signed as a witness on the account opening documents of 4 clients when he had not been present when the account opening procedures had been carried out.

Staff members of CPYI/CPYS were convicted for acting as dealer's representatives without being registered and were sentenced accordingly.

The SFC concluded that the fitness and properness of Mak as a securities dealer's representative under the Securities Ordinance and a commodity dealer's representative under the Commodities Trading Ordinance has been impugned.

The SFC notes Mr Mak's co-operation during its investigation, his perception that he was acting under management pressure and his previous good record and has taken all this into account when deciding to publicly reprimand him.

Page last updated : 1 Aug 2012

證監會對麥俊生採取行動

2001年6月28日

證券及期貨事務監察委員會（證監會）今天公布，本會已根據《證券條例》第 56 條和《商品交易條例》第 36 條譴責麥俊生(麥氏)。

證監會的行動源自一宗涉及 1998 年 3 月至 1999 年 1 月期間，京華山一國際(香港)有限公司(京華山一國際)和京華山一證券(香港)有限公司(京華山一香港)涉嫌從事無牌交易活動的調查。證監會發現，麥氏身為京華山一國際和京華山一證券的交易商代表，曾經：

- 容許未經註冊的職員利用其名稱和客戶主任代號將交易入帳；及
- 在四名客戶的開戶文件上簽署作為見證人，然而在進行開戶程序時，麥氏實際上並不在場。

京華山一國際／京華山一證券若干僱員已因為在未經註冊的情況下，以交易商代表的身份行事而被判處罪名成立及受到相應的懲處。

證監會認為麥氏作為根據《證券條例》註冊的證券交易商代表和根據《商品交易條例》註冊的商品交易商代表的適當人選的資格已受到質疑。

證監會在決定公開譴責麥氏時，已考慮到麥氏在調查過程中表現合作，及麥氏認為其本人是在有關公司的管理層的壓力之下行事，以及麥氏以往紀錄良好等因素。

最後更新日期：2012年8月1日