

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [Enforcement news](#)

## SFC Publicly Reprimands Mr Ng Shek Kwong Marco, a Dealer's Representative under the Commodities Trading Ordinance

26 Apr 2000

The SFC announced today that it had publicly reprimanded Mr Ng Shek Kwong, Marco (Mr Ng), a dealer's representative under the CTO.

The action stemmed from an inquiry into Mr Ng's conduct whilst registered as a dealer's representative accredited to Lee Fung Hong (International) Futures Limited (LFH) and employed as its marketing manager. The inquiry found that during the period of January 1997 to December 1997, Mr Ng had:

- acted as a dealer's representative of Cheung's Securities Brokers Limited (Cheung's), a sister company of LFH, while not registered as a dealer's representative under the SO; and
- knowingly breached the registration requirements of the SO and CTO by facilitating unregistered dealing by persons not registered with the SFC.

As a result of the above findings, the SFC concluded that Mr Ng's fitness and properness had been impugned and decided to publicly reprimand him. In deciding on the public reprimand, the SFC took into consideration that Mr Ng had pleaded guilty at the North Kowloon Magistrate's Court to various breaches of the registration requirements under the SO and CTO and had been fined.

Page last updated : 1 Aug 2012

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

## 證監會公開譴責根據《商品交易條例》註冊的交易商代表吳碩光

2000年4月26日

證監會今天公布，本會已公開譴責根據《商品交易條例》註冊的交易商代表吳碩光（吳氏）。

這項行動源自一項就吳氏在註冊作為隸屬於利豐行（國際）期貨有限公司（利豐行）的交易商代表及擔當該公司的市場經理期間的操守的查訊。該項查訊發現在1997年1月至1997年12月的期間，吳氏：

- 雖然沒有根據《證券條例》註冊為交易商代表，但卻擔當作為利豐行的同集團公司張氏証券有限公司的交易商代表；
- 便利若干未有在證監會註冊的人士從事無牌交易活動，因而在知情的情況下違反《證券條例》及《商品交易條例》的註冊規定。

基於以上的查訊所得，證監會認為吳氏是否適宜作為註冊人士一事已受到質疑，因此決定公開譴責吳氏。在決定公開譴責吳氏時，證監會已考慮到吳氏已在北九龍審判法院承認多項違反《證券條例》及《商品交易條例》的註冊規定的控罪，並且已被法院判處罰款。

最後更新日期：2012年8月1日