
Enforcement News

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20 December 2007

SFC Suspends Mak Ka Bo Alex

The SFC has suspended Mr Mak Ka Bo Alex for six months from 19 December 2007 to 18 June 2008 (Note 1).

The SFC found that Mak had misled SFC investigators in providing answers during a market manipulation investigation interview.

This disciplinary action follows Mak's conviction of misleading the SFC, pursuant to sections 184(2)(a)(iii) and 184(2)(b) of the SFO, in August 2006 at the Eastern Magistracy (Note 2).

In making this decision, the SFC took into account the circumstances that Mak cooperated with the SFC; admitted that the information he gave SFC was misleading; and has a clear disciplinary record.

Ends

Notes:

1. Mak 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, accredited to Celestial Commodities Limited and Celestial Securities Limited.
2. Mak was fined \$10,000 for misleading the SFC. Please see SFC [press release](#) dated 10 August 2006 for details.

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