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SFC Takes Action Against Cheung Hon Chung David

25 Feb 1999

The SFC announced today that it had publicly reprimanded Mr Cheung Hon Chung, David (Cheung), a securities dealer's representative of CA Pacific Securities Limited (CA Pacific).

The reprimand is the result of an enquiry under section 56 of the Securities Ordinance which revealed that between July 1997 and January 1998 Cheung, as branch manager of CA Pacific's Shamshuipo Branch, had knowingly condoned and facilitated the unregistered dealing activities of two employees of CA Pacific. This had impugned his fitness and properness to be a dealer's representative.

Cheung also pleaded guilty on 23 February 1999 at Western Magistracy to aiding and abetting these two employees to act as unregistered representatives of C.A. Pacific during the period from 1 November 1997 to 16 January 1998. He was fined \$10,000 and ordered to pay investigation costs of \$6,500 to the SFC.

Page last updated : 1 Aug 2012

證監會對張漢忠採取行動

1999年2月25日

證監會今天公布，該會已公開譴責正達證券有限公司（正達）的一名證券交易商代表張漢忠（張氏）。

上述譴責源於證監會根據《證券條例》第56條所進行的查訊。查訊發現張氏在1997年7月至1998年1月任職正達深水埗分行經理期間，在明知的情況下，容忍及利便正達的兩名僱員未經註冊而從事交易活動。張氏的行為令人懷疑他是否適宜繼續註冊為交易商代表。

張氏已於1999年2月23日在西區裁判法院承認在1997年11月1日至1998年1月16日期間，協助及教唆該兩名僱員作為正達的未經註冊的代表。張氏被判處罰款10,000元及須向證監會支付調查費用6,500元。

最後更新日期：2012年8月1日