

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

SFC Reprimands Mak Tat Cheuk

17 Feb 2000

The SFC announced today that it had publicly reprimanded Mr Mak Tat Cheuk (Mak), a registered dealer's representative of Chief Commodities Limited (Chief Commodities) and Chief Securities Limited (Chief Securities).

The reprimand stems from an investigation in which the SFC found that Mak had allowed an employee of another broker to operate securities and commodities accounts in that employee's name at Chief Securities and Chief Commodities, during the period March 1996 to September 1999, without first having obtained the written consent from the other broker - as required by his employer. Mak's failure meant that the other broker was unable to properly monitor its employee's trading.

Page last updated : 1 Aug 2012

證監會譴責麥達卓

2000年2月17日

證監會今天公布，本會已公開譴責麥達卓(麥氏)。麥氏為致富期貨商品有限公司(致富期貨)及致富證券有限公司(致富證券)的註冊交易商代表。

這項譴責源自證監會的一宗調查，當中發現在1996年3月至1999年9月期間，麥氏沒有按照其僱主的規定，在未有事先取得另一家經紀行的書面同意的情況下，容許該經紀行一名僱員操作以其名義在致富期貨及致富證券開立的證券及期貨商品戶口。麥氏的缺失意味著該另一家經紀行因此而無法妥善地監察其僱員的交易。

最後更新日期：2012年8月1日