

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

Roger Tsui Chi Fung banned for providing false information to SFC

26 Aug 2014

The Securities and Futures Commission (SFC) has banned Mr Roger Tsui Chi Fung, a former licensed representative, from re-entering the industry for nine months from 15 August 2014 to 14 May 2015 (Note 1).

The disciplinary action follows Tsui's convictions for providing false or misleading information to the SFC after he failed to disclose the disciplinary action taken against him by the Financial Industry Regulatory Authority of the United States in two annual returns that he provided to the SFC in February and September 2009 (Note 2).

End

Notes:

1. Tsui was licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities), Type 2 (dealing in futures contracts), Type 4 (advising on securities), Type 5 (advising on futures contracts), Type 6 (advising on corporate finance), Type 7 (providing automated trading services) and Type 9 (asset management) regulated activities and was accredited to various licensed corporations between 2000 and 2011. He is currently not accredited to any licensed corporation.
2. Tsui pleaded guilty to two counts of providing false and misleading information to the SFC and was convicted on 15 January 2014. Please see the SFC's press release dated [15 January 2014](#).

Page last updated : 26 Aug 2014