

Six charged with offering illegal commissions over trading in securities

25 April 2014

Six clients of a securities firm have been charged by the ICAC today (Friday) with offering a total of over \$30,000 in illegal commissions to a then licensed representative accredited to the firm in relation to trading in securities.

The defendants are Leung Kin-suen, 64, retired person; Tsang Chak-kuen, 65, businessman; Chan Fung-ping, 65, Cheung Sau-har, 58, Wong King-lin, 57, and Peggy Lau Oi-ping, 56, all housewives.

Leung alone faces two counts of offering an advantage to an agent, contrary to Section 9(2)(a) of the Prevention of Bribery Ordinance, while five other defendants are each laid with a similar offence.

The defendants will appear in the Tuen Mun Magistracy at 9:30 am next Tuesday (April 29) for plea in six separate cases.

The cases arose from a corruption complaint referred by the Securities and Futures Commission (SFC).

At the material time, the six defendants were clients of Phillip Securities (Hong Kong) Limited (PSL), with their investment accounts handled by a licensed representative accredited to PSL.

In the first case, Leung faces two charges, which allege that he offered illegal commissions of \$3,367 and \$1,250 to the licensed representative of PSL on April 15 and July 4, 2011 respectively as rewards for advising and handling the transactions made under the investment account held by Leung with PSL.

In five other cases, Tsang, Chan, Cheung, Wong and Lau each face a similar offence. The charges allege that between June 11 and July 17, 2011, they offered illegal commissions ranging from \$2,000 to \$8,300, amounting to \$26,200 in total, to the licensed representative of PSL for the same purpose.

SFC and PSL have rendered full assistance to the ICAC during its investigation.

The defendants have been released on ICAC bail, pending their court appearance on Tuesday.

廉署起訴六名證券行客戶就證券買賣涉嫌提供非法佣金

2014年4月25日

廉政公署今日(星期五)落案起訴六名證券行客戶，控告他們涉嫌就證券買賣，向該證券行當時一名受託的持牌代表提供非法佣金合共逾三萬元。

被告為梁健旋，六十四歲，退休人士；曾澤權，六十五歲，商人；陳鳳萍，六十五歲，張秀霞，五十八歲，王敬連，五十七歲，及劉愛萍，五十六歲，同為家庭主婦。

梁被控兩項向代理人提供利益罪名，涉嫌違反《防止賄賂條例》第9(2)(a)條，其他五名被告各被控一項相類罪名。

各被告將於下星期二(四月二十九日)上午九時三十分在屯門裁判法院分六案答辯。

廉署早前接獲證券及期貨事務監察委員會(「證監會」)轉介的貪污投訴。

各被告於案發時為輝立證券(香港)有限公司(「輝立證券」)的客戶，其投資帳戶由一名「輝立證券」受託的持牌代表處理。

在首宗案件，梁被控兩項罪名。有關控罪指梁涉嫌分別於二〇一一年四月十五日及七月四日，向該名持牌代表分別提供三千三百六十七元及一千二百五十元的非法佣金，作為對梁在「輝立證券」所持投資帳戶的交易提出意見和作出處理的報酬。

在其他五宗案件，曾、陳、張、王及劉各被控一項相類罪名。控罪指他們涉嫌於二〇一一年六月十一日至七月十七日期間，以相同目的向該名持牌代表分別提供二千元至八千三百元不等的非法佣金，涉及佣金合共二萬六千二百元。

「證監會」及「輝立證券」在廉署調查案件期間提供全面協助。

各被告已獲廉署准予保釋，以待下星期二應訊。