



Press Releases

Securities brokers charged with bribery for arranging clients to use trading programme

2021-8-4

The ICAC today (August 4) charged two brokers of a securities firm with bribery involving bribe payments and gifts totalling over \$197,000 for arranging clients of the securities firm to use a futures trading programme provided by a computer company.

The ICAC investigation arose from a corruption complaint. Upon completion of the investigation, the ICAC sought legal advice from the Department of Justice, which advised charges be preferred against the duo.

Lam Ching-chiu, 39, and Wong Siu-fung, formerly known as Wong Sze-lap, 35, both securities brokers of Glory Sky Global Markets Limited (Glory Sky), jointly face two counts of conspiracy for an agent to accept an advantage, contrary to Section 9(1)(a) of the Prevention of Bribery Ordinance (POBO) and Section 159A of the Crimes Ordinance.

Lam alone faces one count of offering an advantage to an agent, contrary to Section 9(2)(a) of the POBO, while Wong further faces two similar charges.

The defendants have been released on ICAC bail, pending their appearance in the West Kowloon Magistrates' Courts on Friday (August 6) for the case to be transferred to the District Court for plea.

At the material time, Hong Kong Financial Engineering Company Limited (HK Financial Engineering) provided securities account management service by way of a computer programme which would automatically place orders for buying or selling futures in order to generate profits within a short period of time. HK Financial Engineering would charge their clients service fees out of the profit generated from the programme.

Lam and Wong were both licensed agents of Glory Sky, a licensed financial institute. Wong was a subordinate of Lam.

Two of the charges allege that between an unknown date in November 2014 and February 18, 2015, Lam and Wong conspired with the then chief executive officer (CEO) of HK Financial Engineering for Wong to, without lawful authority or reasonable excuse, accept from the CEO commissions totalling over \$125,500 as an inducement to or reward for Wong to assist and arrange two of his clients to engage the service provided by HK Financial Engineering.

Another charge alleges that between an unknown date in December 2014 and February 16, 2015, Lam, without lawful authority or reasonable excuse, offered \$60,000 to \$70,000 to staff members of HK Financial Engineering as an inducement to or reward for them to assist and arrange HK Financial Engineering to provide the service to clients of Lam.

The remaining two charges allege that on or about December 18 and an unknown date in December 2014, Wong, without lawful authority or reasonable excuse, respectively offered a cosmetic products amounting to

\$12,500 and a mobile phone to the aforesaid CEO of HK Financial Engineering as an inducement to or reward for the CEO to assist and arrange HK Financial Engineering to provide the service to clients of Wong.

HK Financial Engineering has rendered assistance to the ICAC during its investigation into the case.

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新聞公佈

廉署起訴證券經紀涉貪安排客戶使用期貨交易電腦程式

2021年8月4日

廉政公署今日(八月四日)落案起訴一間證券公司兩名經紀，控告他們涉嫌分別收受及提供賄款及禮物共逾十九萬七千元，以安排公司客戶使用一間電腦公司提供的期貨交易電腦軟件程式。

廉署早前接獲貪污投訴遂展開調查，完成調查後向律政司徵詢法律意見，並按有關法律意見落案起訴二人。

林靖釗，三十九歲，及黃肇鋒(前稱黃詩立)，三十五歲，同為灝天環球投資有限公司(灝天環球)證券經紀，同被控兩項串謀使代理人接受利益罪名，違反《防止賄賂條例》第9(1)(a)條及《刑事罪行條例》第159A條。

林靖釗另被控一項向代理人提供利益罪名，違反《防止賄賂條例》第9(2)(a)條。黃肇鋒則被控兩項相類罪名。

兩名被告已獲廉署准予保釋，星期五(八月六日)將在西九龍裁判法院應訊，以待案件轉介區域法院答辯。

案發時香港金融工程有限公司(香港金融工程)以一個電腦程式為客戶提供期貨戶口管理服務。有關程式會自動下單買入或賣出期貨，務求在短時間內為客戶賺取利潤。香港金融工程會從客戶所得利潤中收取服務費。

林靖釗及黃肇鋒同為註冊金融機構灝天環球的持牌代理，黃肇鋒是林靖釗的下屬。

其中兩項控罪指，林靖釗及黃肇鋒涉嫌於二〇一四年十一月某日至二〇一五年二月十八日期間，一同串謀香港金融工程的行政總裁，使黃肇鋒在無合法權限或合理辯解下，從該行政總裁接受共逾十二萬五千五百元佣金，作為黃肇鋒協助及安排其兩名客戶使用香港金融工程提供的該軟件服務的誘因或報酬。

另一項控罪指，林靖釗涉嫌於二〇一四年十二月某日至二〇一五年二月十六日期間，無合法權限或合理辯解而向香港金融工程的職員提供六萬元至七萬元，作為他們協助及安排香港金融工程向林靖釗的客戶提供該軟件服務的誘因或報酬。

餘下兩項控罪指，黃肇鋒涉嫌於或約於二〇一四年十二月十八日及十二月某日，無合法權限或合理辯解而向上述香港金融工程行政總裁，提供總值一萬二千五百元的化妝品及一部流動電話，作為該行政總裁協助及安排香港金融工程向黃肇鋒的客戶提供該軟件服務的誘因或報酬。

香港金融工程在廉署調查案件期間提供協助。

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