
Enforcement News

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27 September 2007

SFC Prosecutes Chief Securities Limited and Peter Chau Chung Kai for Issuing Unauthorised Advertisements on Collective Investment Scheme

The SFC has successfully prosecuted Chief Securities Limited and Mr Peter Chau Chung Kai for issuing unauthorised advertisements about an unauthorised collective investment scheme called Chief Treasure, contrary to section 103 of the Securities and Futures Ordinance.

An SFC investigation found that Chief Securities posted advertisements inviting the public to invest in Chief Treasure in two newspapers in May 2006 and on its website around June 2006. Such advertisements had to be authorised by the SFC before they were issued. Chief Securities had not applied for such authorisation, and its director and responsible officer, Chau, was responsible for such failure.

Chief Securities and Chau each pleaded guilty to three summonses today before Mr Garry Tallentire, Principal Magistrate at Eastern Magistracy. They were fined a total of \$15,000 and ordered to pay total investigation costs of \$13,262 to the SFC.

Ends

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與執法有關的新聞

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2007年 9月 27日

證監會檢控致富證券有限公司及周松堦發出有關集體投資計劃的未經認可廣告

證監會成功檢控致富證券有限公司及周松堦（男），指該公司及周就一項名為致富聚寶盆的未經認可集體投資計劃發出未經認可廣告，違反《證券及期貨條例》第103條。

證監會的調查發現，致富證券在2006年5月於兩份報章及大約在2006年6月於其網站登載廣告，邀請公眾投資於致富聚寶盆。該等廣告必須獲得證監會認可，方可發出。致富並無申請該認可，而其董事兼負責人員周須對該項缺失負責。

致富證券及周今天於東區裁判法院向鄧立泰主任裁判官 (Mr Garry Tallentire) 分別承認三項控罪，被判處罰款合共15,000元及被命令須向證監會繳付調查費合共13,262元。

完

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