

Former investment firm CEO convicted of unlicensed dealing

20 Feb 2017

The Eastern Magistrates’ Court today convicted Mr Chiang Ching Fung, former chief executive officer of Gold Root Global Investments Limited (GRG Investments), of unlicensed dealing in futures contracts in a prosecution by the Securities and Futures Commission (SFC) (Note 1).

This came after the conviction of GRG Investments in October last year of dealing in futures contracts through its website between March and April 2013 without a SFC licence (Note 2).

Chiang, who managed the operations of GRG Investments, pleaded guilty to the charge of aiding, abetting, counselling, procuring or inducing or consenting to or conniving in the commission of GRG Investments’ offence of unlicensed dealing.

The court also acquitted Mr Jacky Chan Cheuk Ki, former dealing director of GRG Investments, of the same charge.

The court fined Chiang \$12,000 and made a 12-month bind over order on Chan. They were ordered to pay the SFC’s investigation costs (Note 3).

End

Notes:

1. Chiang was convicted under sections 114 and 390 of the Securities and Futures Ordinance.
2. Please see SFC’s press release dated [27 October 2016](#).
3. A bind over order is an order whereby the court requires a person to be of good behaviour and/or to keep the peace for a period of time.

Page last updated : 20 Feb 2017

投資公司前行政總裁被裁定進行無牌交易罪成

2017年2月20日

東區裁判法院今天在證券及期貨事務監察委員會（證監會）提出的檢控行動中，裁定金建環球投資有限公司（金建環球投資）的前行政總裁蔣正峰（男）進行無牌期貨合約交易罪名成立（註1）。

金建環球投資已於去年10月被裁定在未領有證監會牌照的情況下於2013年3月至4月期間透過其網站進行期貨合約交易罪名成立（註2）。

蔣當時負責管理有關金建環球投資的營運，他承認協助、教唆、慫恿、促致或誘使或同意或縱容金建環球投資觸犯進行無牌交易的控罪。

法院亦裁定金建環球投資的前交易總監陳卓基（男）的相同控罪不成立。

法院判蔣罰款12,000元及向陳作出12個月的簽保令。蔣和陳被飭令繳付證監會的調查費用（註3）。

完

備註：

- 1. 蔣根據《證券及期貨條例》第114及390條被裁定罪名成立。
- 2. 請參閱證監會2016年10月27日的新聞稿。
- 3. 簽保令即法院要求某人在一段期間內保持行為良好及／或遵守法紀的命令。

最後更新日期：2017年2月20日