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SFC bans Tu Bing for life

5 Aug 2019

The Securities and Futures Commission (SFC) has banned Mr Tu Bing, a former associate director of UBS AG, Hong Kong Branch (UBS AG), from re-entering the industry for life following his conviction for bribery (Notes 1 & 2).

The District Court found Tu, a former client advisor of UBS AG responsible for managing investment portfolios of clients, guilty of soliciting and accepting illegal commission payments of approximately \$1.4 million from a client for profits generated from the client's trades in Hong Kong stocks (Note 3).

The SFC considers that Tu is not a fit and proper person to be licensed or registered to carry on regulated activities as a result of his criminal conviction.

The case was referred to the SFC by the Hong Kong Monetary Authority (HKMA).

End

Notes:

1. Tu was a relevant individual engaged by UBS AG to carry on Type 1 (dealing in securities) regulated activity under the Securities and Futures Ordinance between 11 January 2006 and 14 November 2008. Tu is currently not registered with the HKMA or licensed by the SFC.
2. Tu was convicted of conspiracy for an agent to accept advantages contrary to section 9(1)(a) of the Prevention of Bribery Ordinance and section 159A of the Crimes Ordinance at the District Court on 27 October 2017 and sentenced to three-and-a-half-year imprisonment on 16 November 2017.
3. Please see the Reasons for Verdict and Reasons for Sentence (Case No: DCCC 295/2017), both of which are available on the Judiciary's website (www.judiciary.gov.hk).

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證監會終身禁止涂冰重投業界

2019年8月5日

瑞士銀行香港分行（瑞銀香港）前副董事涂冰（男）被判賄賂罪成後，遭證券及期貨事務監察委員會（證監會）終身禁止重投業界（註1及2）。

涂是瑞銀香港的前客戶顧問，負責管理客戶的投資組合。區域法院裁定他就某客戶在香港股票交易所獲的利潤，向該客戶索取及接受大約140萬元的非法佣金款項罪名成立（註3）。

鑑於涂被判刑事罪名成立，證監會認為他並非獲發牌或註冊進行受規管活動的適當人選。

本個案由香港金融管理局（金管局）轉介證監會跟進。

完

備註：

1. 涂在2006年1月11日至2008年11月14日期間是受聘於瑞銀香港進行《證券及期貨條例》下第1類（證券交易）受規管活動的有關人士。涂現時沒有名列於金管局的紀錄冊，亦非證監會持牌人。
2. 涂在2017年10月27日於區域法院被裁定串謀使代理人接受利益罪名成立，違反了《防止賄賂條例》第9(1)(a)條及《刑事罪行條例》第159A條，並在2017年11月16日被判監禁三年半。
3. 請參閱司法機構網站（www.judiciary.gov.hk）所載的裁決及判刑理由（案件號碼：DCCC 295/2017）。

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