

[Home](#) ▶ [News and announcements](#) ▶ [News](#) ▶ [All news](#)

Court convicts and fines former officer of Wonderful Wealth Group Limited for unlicensed activities

9 Jul 2020

The Eastern Magistrates' Court today convicted Mr Simon Chan Ying Ming, former officer of Wonderful Wealth Group Limited (WWGL), of holding out as carrying on a business of dealing in futures contracts and asset management without a licence in a criminal prosecution brought by the Securities and Futures Commission (SFC) (Notes 1 to 3).

Chan, who pleaded guilty to all four charges, was fined \$20,000 and ordered to pay the SFC's investigation costs.

The SFC alleged that between July and September 2012, Chan had represented to two investors that WWGL operated a business of trading in futures contracts and options, and solicited them to invest in a WWGL-operated investment scheme which guaranteed a monthly rate of return of 5% in three months' time.

Chan told them WWGL would use their funds to trade futures contracts and options in WWGL's trading accounts. The two investors invested a total sum of \$850,000 in the investment scheme and they suffered losses of around \$710,000.

The SFC also alleged that Chan had aided, abetted, counselled, procured, induced WWGL to hold itself out to the investors as carrying on a business of dealing in futures contracts and asset management or that the offence by WWGL was committed with the consent, connivance of or was attributable to recklessness of Chan (Notes 4 & 5).

The SFC reminds investors to check the SFC's Public Register of Licensed Persons and Registered Institutions on the SFC website (www.sfc.hk) before investing to ensure that the people who provide dealing services in futures contracts and asset management are properly licensed.

End

Notes:

1. WWGL was dissolved in November 2017.
2. Dealing in futures contracts and asset management are regulated activities under the Securities and Futures Ordinance (SFO). Under section 114(1)(b) of the SFO, it is an offence to hold oneself out as carrying on a business in a regulated activity without a licence from the SFC.
3. Chan and WWGL have never been licensed with the SFC in any capacity or in relation to any regulated activity.
4. Under section 390 of the SFO, where the commission of an offence under the SFO by a corporation is proved to have been aided, abetted, counselled, procured or induced by, or committed with the consent or connivance of, or attributable to any recklessness on the part of, any officer of the corporation, or any person who was purporting to act in any such capacity, that person, as well as the corporation, is guilty of the offence.
5. On 4 June 2020, the former sole director and shareholder of WWGL was convicted of the same offences. For details, please see press release dated [4 June 2020](#). The case against Chan was adjourned until today for plea taking.

Page last updated : 9 Jul 2020

主頁 ▶ 新聞稿及公布 ▶ 新聞稿 ▶ 所有新聞稿

法庭裁定兆容創富有限公司前高級人員進行無牌活動罪成並處以罰款

2020年7月9日

東區裁判法院今天在一宗由證券及期貨事務監察委員會（證監會）提起的刑事檢控個案中，裁定兆容創富有限公司（兆容創富）前高級人員陳英鳴（男）未領有牌照而顯示自己經營期貨合約交易及提供資產管理業務的罪名成立（註1至3）。

陳承認全部四項控罪，被判處罰款20,000元，並被命令支付證監會的調查費用。

證監會指稱，陳在2012年7月至9月期間，向兩名投資者聲稱兆容創富經營期貨合約和期權買賣的業務，及招攬他們投資一項由兆容創富營運且在三個月內保證每月回報率為5%的投資計劃。

陳向這些投資者表示，兆容創富會運用他們的資金在該公司的交易帳戶內買賣期貨合約和期權。該兩名投資者在該投資計劃上投資了共85萬元，結果損失約71萬元。

證監會亦指稱，陳曾協助、教唆、慫恿、促致或誘使兆容創富向這些投資者顯示自己經營期貨合約交易及提供資產管理的業務，或兆容創富的罪行是在他的同意或縱容下干犯，或是可歸因於他罔顧實情或罔顧後果（註4及5）。

證監會提醒投資者在投資前務必查閱證監會網站（www.sfc.hk）內的〈持牌人及註冊機構的公眾紀錄冊〉，以確保提供期貨合約交易服務及資產管理的人士領有適當的牌照。

完

備註：

1. 兆容創富已於2017年11月解散。
2. 期貨合約交易及提供資產管理屬於《證券及期貨條例》下的受規管活動。根據該條例第114(1)(b)條，任何人未領有證監會發出的牌照而顯示自己經營某類受規管活動的業務，即屬犯罪。
3. 陳及兆容創富從未以任何身分或就任何受規管活動獲證監會發牌。
4. 根據《證券及期貨條例》第390條，凡任何法團所犯在該條例下所訂的罪行，經證明是在該法團的任何高級人員或看來是以該身分行事的人協助、教唆、慫恿、促致或誘使下犯的，或是在該人的同意或縱容下犯的，或是可歸因於該人罔顧實情或罔顧後果的，則該人與該法團均屬犯該罪行。
5. 於2020年6月4日，兆容創富的前唯一董事兼股東因相同控罪被裁定罪成。詳情請參閱2020年6月4日的新聞稿。這宗針對陳的案件押後至今天以進行答辯。

最後更新日期：2020年7月9日