

SFC Successfully Prosecutes Tresidder Tuohy and Partners (HK) Limited for Possession and Issuance of Unauthorised Advertisements and Promotional Documents in relation to Investment Arrangements

9 Nov 1999

The Securities and Futures Commission (SFC) announces today that it has successfully prosecuted Tresidder Tuohy and Partners (HK) Limited (TTP) for the issuance and possession of unauthorised advertisements and promotional documents. The unauthorised advertisements and promotional documents invited members of the public to take part in investment arrangements which guaranteed returns. These advertisements and promotional documents required authorization by the SFC prior to their issue to the public.

TTP pleaded guilty before Ms. Polly Lo of the Western Magistracy to a total of five summonses for breaching Section 4 of the Protection of Investors Ordinance. TTP was fined \$40,000 and ordered to pay costs of \$5,039 to the SFC.

During the same hearing, the following persons applied for review of the fines previously imposed on them on 2 November 1999, Ms. Polly Lo agreed to review the fines as follows:

- Mr. Thomas Alexej Hall: The fine of \$90,000 for five summonses was reduced to \$35,000;
- Ms. Tsang Tin Wai Flora: The fine of \$60,000 for three summonses was reduced to \$30,000;
- Mr. Christopher John Parker: The fine of \$40,000 for one summons was reduced to \$15,000; and
- Mr. Neil Hamilton Pearce: The fine of \$40,000 for one summons was reduced to \$15,000.

The costs of \$18,336 awarded to the SFC remain unchanged.

The aforesaid ten summonses also related to the issuance and possession of unauthorised advertisements and promotional documents.

Page last updated : 1 Aug 2012

證監會成功檢控怡達理財投資顧問有限公司指其管有及發出關於投資安排但未經認可的廣告及推廣文件

1999年11月9日

證券及期貨事務監察委員會（證監會）今天公布，本會已成功檢控怡達理財投資顧問有限公司（怡達），指其發出及管有未經認可的廣告及推廣文件。該等未經認可的廣告及推廣文件均為邀請公眾參與若干有回報保證的投資安排。該等廣告及推廣文件在向公眾發出前必須呈交證監會認可。

怡達在西區裁判法院向盧恆福裁判法官承認違反《保障投資者條例》第4條合共5項控罪。怡達被判處罰款40,000元，同時亦被命令須向證監會支付5,039元的調查費用。

在同一聆訊過程中，下述申請人申請要求覆核在1999年11月2日對他們判處的罰款，盧恆福裁判法官同意覆核有關罰款並修訂如下：

- Thomas Alexej Hall：由原來違反5項控罪被判處罰款90,000元減為35,000元；
- 曾天慧：由原來違反3項控罪被判處罰款60,000元減為30,000元；
- Christopher John Parker：由原來違反1項控罪被判處罰款40,000元減為15,000元；及
- Neil Hamilton Pearce：由原來違反1項控罪被判處罰款40,000元減為15,000元。

證監會獲判給的18,336元調查費用則維持不變。

上述10項控罪亦與發出及管有未經認可的廣告及推廣文件有關。

最後更新日期：2012年8月1日