

SFC Revokes the Registration of Mr Chiu Chi Man Wesley

15 Jan 2002

The Securities and Futures Commission (SFC) announced today that it had revoked the registration of Mr Chiu Chi Man, Wesley (Chiu), a former dealer's representative of Phillip Securities (HK) Co Ltd., under section 55 of the Securities Ordinance.

Chiu was convicted of three counts of false accounting and one count of evasion of liability by deception in the Western Magistracy on 13 March 2001. As a result, he was sentenced to six months' imprisonment on each count. The offences were committed by Chiu in the course of performing his functions as a dealer's representative.

An SFC spokesman said: "The SFC takes a serious view of registered persons committing criminal offence in the course of carrying out their functions. We will make every effort to stamp out such practices and prevent these persons from serving investors."

證監會撤銷趙智敏的註冊

2002年1月15日

證券及期貨事務監察委員（證監會）今天公布，本會已根據《證券條例》第 55 條撤銷輝立證券（香港）有限公司前交易商代表趙智敏（趙氏）的註冊。

趙氏於 2001 年 3 月 13 日在西區裁判法院被控 3 項作出虛假會計記錄和 1 項藉欺詐而逃避責任的罪名。因此，趙氏分別就每項罪名判監 6 個月。趙氏是在履行其交易商代表的職責時作出上述違法行為的。

證監會發言人表示：“證監會嚴厲看待註冊人在履行職責時違反法規一事。我們會盡力取締此等行為，亦會禁止這些人士服務投資大眾。”

最後更新日期：2012年8月1日