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SFC bans Kwan Hung Kei for life

12 Dec 2013

The Securities and Futures Commission (SFC) has banned Mr Kwan Hung Kei, a former employee of Nanyang Commercial Bank, Limited (Nanyang Bank), from re-entering the industry for life (Note 1).

Kwan was convicted on one count of theft by the Eastern Magistrates' Court on 13 December 2012.

The court found that, in March 2011, Kwan introduced a "Time Deposit Plan" to a customer at Nanyang Bank. The customer agreed to invest \$10,000 and gave Kwan a blank pre-signed cheque for the transaction.

Kwan completed the date and the amount of \$10,000 on the cheque in front of the customer but left the payee details blank and retained the cheque. He later printed his name as the payee on the cheque and subsequently used it to transfer \$10,000 from the client's bank account to his own bank account.

The SFC considers Kwan not a fit and proper person as a result of his conviction.

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

End

Note:

1. Kwan was a relevant individual engaged by Nanyang Bank to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance from September 2005 to April 2011. Kwan is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.

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證監會終身禁止關鴻基重投業界

2013年12月12日

證券及期貨事務監察委員會（證監會）終身禁止南洋商業銀行有限公司（南洋銀行）前僱員關鴻基（男）重投業界（註1）。

2012年12月13日，東區裁判法院裁定關一項盜竊罪名成立。

法庭裁定，關在2011年3月，向南洋銀行的一名客戶介紹一項“定期存款計劃”。這名客戶同意投資10,000元，並就該筆交易將一張預先簽署的空白支票交給關。

關在客戶面前在支票上填上日期和金額10,000元，但沒有填上收款人資料，並保留該支票。他其後在支票收款人一欄填上自己的姓名，再利用該支票從客戶的銀行帳戶轉帳10,000元至自己的銀行帳戶。

鑑於關被定罪，證監會認為他並非獲發牌的適當人選。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 在2005年9月至2011年4月期間，關是受聘於南洋銀行進行《證券及期貨條例》下第1類（證券交易）及第4類（就證券提供意見）受規管活動的有關人士。關目前沒有名列於香港金融管理局的紀錄冊，亦沒有獲證監會發牌。

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