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## SFC bans Jonathan Yan Cheuk Fung for life

24 Feb 2014

The Securities and Futures Commission (SFC) has banned Mr Jonathan Yan Cheuk Fung from re-entering the industry for life (Note 1).

While Yan was employed as a relationship manager by the Hongkong and Shanghai Banking Corporation Limited (HSBC), he misled HSBC Life (International) Limited (HSBC Life), a subsidiary of HSBC, in submitting life insurance applications to HSBC Life by naming a friend as the insured person and payer of the premium of the policies when, in fact, that was not the case. Yan received commission for the sale of the policies.

Yan was subsequently charged and convicted of six counts of using a document with intent to deceive his principal (HSBC Life) (Note 2).

The SFC considers Yan not a fit and proper person as a result of his convictions.

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

End

Notes:

1. Yan was a relevant individual engaged by Hongkong and Shanghai Banking Corporation Limited to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance from May 2004 to March 2011. Yan is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.
2. Please see the Reasons for Verdict and Reasons for Sentence (DCCC 702/2012) which are available on the Judiciary's website ([www.judiciary.gov.hk](http://www.judiciary.gov.hk)).

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## 證監會終身禁止甄卓峯重投業界

2014年2月24日

證券及期貨事務監察委員會（證監會）終身禁止甄卓峯（男）重投業界（註1）。

甄任職香港上海滙豐銀行有限公司（滙豐）客戶關係經理時，曾在向滙豐的附屬公司滙豐人壽保險（國際）有限公司（滙豐人壽保險）遞交人壽保險申請時誤導滙豐人壽保險，以一名朋友作為保單的受保人及保費支付人，惟事實並非如此。甄就銷售該等保單收取佣金。

其後，甄遭檢控及被裁定六項意圖欺騙其主事人（滙豐人壽保險）而使用文件罪名成立（註2）。

鑑於甄被定罪，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2004年5月至2011年3月期間，甄是受聘於香港上海滙豐銀行有限公司進行《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。甄現時沒有名列於香港金融管理局的紀錄冊，亦並非證監會持牌人。
2. 請參閱司法機構網站（[www.judiciary.gov.hk](http://www.judiciary.gov.hk)）的《裁決理由書》及《判刑理由書》（DCCC 702/2012）。

最後更新日期：2014年2月24日