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SFC suspends Lo Tsz On for one year

12 Oct 2016

The Securities and Futures Commission (SFC) has suspended Mr Lo Tsz On for one year from 12 October 2016 to 11 October 2017 following his conviction for fraud (Notes 1 & 2).

The Magistrates' Court found that Lo fraudulently presented three false entertainment claim forms to his then employer, Core Pacific-Yamaichi International (H.K.) Limited (CPY), in which he overstated the amount of money he had spent on team meals in 2012 and 2013. This caused CPY to reimburse \$3,430 more to Lo than he had actually spent.

The SFC considers Lo's conviction has called into question his fitness and properness as a licensed person.

The case was referred to the SFC by the Independent Commission Against Corruption.

End

Notes:

1. Lo was licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) regulated activity for Core Pacific-Yamaichi International (H.K.) Limited and Core Pacific-Yamaichi Securities (H.K.) Limited and Type 2 (dealing in futures contracts) for Core Pacific Yamaichi Futures (H.K.) Limited from June 2004 to January 2014. Lo is currently not accredited to any licensed corporation.
2. The Eastern Magistrates' Court sentenced Lo to a Community Service Order of 240 hours on 10 November 2015 following his conviction for three counts of fraud under the Theft Ordinance.

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證監會暫時吊銷盧子安的牌照一年

2016年10月12日

證券及期貨事務監察委員會（證監會）暫時吊銷盧子安（男）的牌照一年，由2016年10月12日起至2017年10月11日止。盧早前被裁定觸犯欺詐罪名成立（註1及2）。

裁判法院裁定，盧曾以欺騙手段向其當時的僱主京華山一國際（香港）有限公司（京華山一）呈交三份虛假的酬酢開支申索表格，並在當中誇大他在2012年及2013年的團隊聚餐中的支出，導致京華山一向盧發還比他的實際支出多3,430元的款項。

證監會認為，盧的定罪裁決令他作為持牌人的適當人選資格受到質疑。

本個案由廉政公署轉介證監會跟進。

完

備註：

1. 2004年6月至2014年1月，盧根據《證券及期貨條例》獲發牌為京華山一國際（香港）有限公司及京華山一證券（香港）有限公司進行第1類（證券交易）受規管活動，以及為京華山一期貨（香港）有限公司進行第2類（期貨合約交易）受規管活動。盧現時並不隸屬任何持牌法團。
2. 東區裁判法院於2015年11月10日裁定盧三項《盜竊罪條例》下的欺詐罪名成立，判處240小時社會服務令。

最後更新日期：2016年10月12日