

SFC issues restriction notices to three brokers to freeze client accounts linked to suspected market manipulation

30 Aug 2017

The Securities and Futures Commission (SFC) has issued restriction notices to Caitong International Securities Co., Ltd, Pacific Foundation Securities Limited and Yuanta Securities (Hong Kong) Company Limited (the brokers), prohibiting them from dealing with or processing certain assets held in client accounts which are related to suspected market manipulation in the shares of GME Group Holdings Limited on 22 February 2017 (Notes 1 to 3).

The SFC is not investigating the brokers, which have cooperated with the SFC's ongoing investigation. The notices do not affect their operations or their other clients.

The notices prohibit the brokers, without the SFC's prior written consent, from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with any assets in any way in the client accounts including: (i) entering into transactions for any securities; and/or (ii) processing any withdrawals or transferring of securities and/or cash arising from the disposal of securities; and/or (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the client accounts or by any person acting on their behalf; and/or (iv) assisting another person to dispose of or deal with any relevant property in a specified manner. The brokers are also required to notify the SFC if they receive any of these instructions.

The SFC considers that the issue of the notices is desirable in the interest of the investing public or in the public interest.

The SFC's investigation is continuing.

End

Notes:

1. The SFC issued the restriction notices pursuant to sections 204 and 205 of the Securities and Futures Ordinance (SFO).
2. GME Group Holdings Limited was listed on the Growth Enterprise Market of The Stock Exchange Hong Kong Limited on 22 February 2017 by way of placing. The SFC suspended trading of its shares under section 8(1) of the Securities and Futures (Stock Market Listing) Rules with effect from 1:00pm on the same day. Trading in the shares resumed on 28 March 2017.
3. Caitong International Securities Co., Ltd is a corporation licensed under the SFO to carry out Type 1 and 4 regulated activities, Pacific Foundation Securities Limited is a corporation licensed under the SFO to carry out Type 1 and 9 regulated activities and Yuanta Securities (Hong Kong) Company Limited is a corporation licensed under the SFO to carry out Type 1, 2, 4, 5, 6 and 9 regulated activities.

Page last updated : 30 Aug 2017

主頁 ▶ 新聞稿及公布 ▶ 新聞稿 ▶ 所有新聞稿

證監會向三家經紀行發出限制通知書凍結涉嫌與市場操控有關的客戶帳戶

2017年8月30日

證券及期貨事務監察委員會（證監會）向財通國際證券有限公司、太平基業證券有限公司及元大證券（香港）有限公司（該等經紀行）分別發出限制通知書，禁止該等經紀行處理某些客戶帳戶內持有的若干資產。這些帳戶與2017年2月22日駿傑集團控股有限公司股份交易的涉嫌市場操控活動有關（註1至3）。

該等經紀行並非證監會今次進行調查的對象，它們並已就有關調查作出配合。有關通知書並不影響該等經紀行的運作或它們的其他客戶。

有關通知書禁止該等經紀行在未經證監會事先書面同意下，以任何方式處置或處理、輔助、慫恿或促致另一人處置或處理該等客戶帳戶內的任何資產，包括：(i) 就任何證券訂立交易；及／或(ii) 處理證券及／或因處置證券而產生的現金的任何提取或轉移；及／或(iii) 按該等客戶帳戶的任何獲授權人或任何代其行事的人的指示處置或處理任何證券或現金；及／或(iv) 輔助另一人處置或以指明方式處理任何有關財產。若該等經紀行接獲任何上述指示，亦須通知證監會。

證監會認為，就維護投資大眾的利益或公眾利益而言，發出有關通知書是可取的做法。

證監會的調查仍在進行中。

完

備註：

1. 證監會根據《證券及期貨條例》第204及205條發出有關限制通知書。
2. 駿傑集團控股有限公司於2017年2月22日在香港聯合交易所有限公司創業板以配售形式上市。證監會根據《證券及期貨(在證券市場上市)規則》第8(1)條於同日下午1時暫停該公司股份的買賣。該公司股份在2017年3月28日恢復買賣。
3. 財通國際證券有限公司是根據《證券及期貨條例》獲發牌進行第1及4類受規管活動的法團；太平基業證券有限公司是根據《證券及期貨條例》獲發牌進行第1及9類受規管活動的法團；而元大證券（香港）有限公司是根據《證券及期貨條例》獲發牌進行第1、2、4、5、6及9類受規管活動的法團。

最後更新日期：2017年8月30日