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SFC-ICAC operation leads to charging of ex-Convoy Global Executive Directors and broker's general manager

22 Jul 2019

Following the joint operation of the Securities and Futures Commission (SFC) and the Independent Commission Against Corruption (ICAC) in December 2017, the ICAC today charged five other individuals with conspiracy to defraud (Note 1).

This came after the ICAC charged Mr Cho Kwai Chee, a former executive director of Convoy Global Holdings Limited (Convoy Global), formerly known as Convoy Financial Holdings Limited, with conspiracy to defraud in May 2019 (Note 2).

Ms Chan Lai Yee and Mr Byron Tan Ye Kai, both former executive directors of Convoy Global, were charged by the ICAC with conspiring with Cho to defraud the Stock Exchange of Hong Kong Limited (SEHK), Convoy Global and its board of directors and shareholders between 1 April 2016 and 7 December 2017 by causing Convoy Global's subsidiary to acquire an investment company owned by Cho at a consideration of over \$89 million.

Chan was also alleged to have conspired with three individuals – Mr Mak Kwong Yiu, a former executive director of Convoy Global; Ms Wong Shuk On, a former manager of Convoy Global; and Mr Lee Yick Ming, a general manager of Gransing Securities Co., Limited (Gransing) – to defraud SEHK, Convoy Global and its board of directors and shareholders between 1 June 2014 and 7 December 2017 by inducing Convoy Global to pay over \$49.6 million as commission for placement of bonds via Gransing to a brokerage firm of which Mak was a shareholder and director.

Cho, along with the five individuals, will appear before the Eastern Magistracy on 24 July 2019 for mention.

The SFC will continue to collaborate with the ICAC on this matter.

End

Notes:

1. Please see ICAC's press releases for further details.
2. Please see the SFC's press release dated [16 May 2019](#) for further details.

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康宏環球前執行董事及經紀行總經理在證監會與廉政公署採取行動後被檢控

2019年7月22日

繼證券及期貨事務監察委員會（證監會）與廉政公署於2017年12月採取聯合行動後，廉政公署今天以串謀欺詐罪起訴另外五人（註1）。

廉政公署早前於2019年5月，以串謀欺詐罪起訴康宏環球控股有限公司（康宏環球）（前稱康宏金融控股有限公司）前執行董事曹貴子（男）（註2）。

康宏環球兩名前執行董事陳麗兒（女）及陳毅凱（男）遭廉政公署起訴，被指在2016年4月1日至2017年12月7日期間，透過安排康宏環球的附屬公司以超過8,900萬元的代價收購一家由曹擁有的投資公司，與曹串謀欺詐香港聯合交易所有限公司（聯交所）、康宏環球及其董事會和股東。

陳麗兒亦被指在2014年6月1日至2017年12月7日期間與三名人士——康宏環球前執行董事麥光耀（男）、康宏環球前經理黃淑安（女）及鼎成證券有限公司（鼎成）總經理李易明（男）——藉誘使康宏環球透過鼎成向一家由麥作為股東及董事的經紀行支付超過4,960萬元的債券配售佣金，串謀欺詐聯交所、康宏環球及其董事會和股東。

曹與上述五人將於2019年7月24日在東區裁判法院提堂。

證監會將會就此案繼續與廉政公署通力合作。

完

備註：

1. 詳情請參閱廉政公署的新聞公佈。
2. 詳情請參閱證監會2019年5月16日的新聞稿。

最後更新日期：2019年7月22日