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Retail investor convicted of misleading the SFC in market manipulation investigation

13 Feb 2014

The Eastern Magistrates' Court today convicted Mr Ng Kai Chak on two charges of misleading the Securities and Futures Commission (SFC) during an SFC investigation.

Ng pleaded guilty and was fined a total of \$16,000. The court also ordered him to pay the SFC's investigation costs.

During an SFC investigation into market manipulation in the shares of Sino-Tech International Holdings Limited (Sino-Tech), Ng twice misled SFC investigators about who controlled his securities account by claiming that he had personally placed the relevant buy and sell orders for the Sino-Tech shares in his account.

However, the SFC investigation revealed that Ng could not have operated the account because the orders were placed through the Internet Protocol address assigned to the workplace of Mr Wong Chun. Ng allowed Wong to access and use his online securities trading account and it was Wong who placed the relevant orders.

The SFC is separately prosecuting Wong for market manipulation. The case is set for a pre-trial review on 20 February 2014.

End

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散戶投資者在市場操縱調查中誤導證監會罪成

2014年2月13日

東區裁判法院今天裁定吳錯澤（男）兩項在證券及期貨事務監察委員會（證監會）調查期間誤導證監會的罪名成立。

吳承認控罪，法院判處其罰款合共16,000元及命令他繳付證監會的調查費。

在證監會就涉及泰豐國際集團有限公司（泰豐國際）股份的市場操縱活動進行調查期間，吳兩度就誰控制其證券帳戶誤導證監會調查員，訛稱是他親自就其帳戶發出泰豐國際股份相關的買盤和賣盤指令。

不過，證監會的調查發現，帳戶沒可能是由吳本人操作，因為有關買賣指令是透過黃俊（男）所處辦公地點的互聯網協定位址發出。吳容許黃登入並使用其網上證券交易帳戶，而發出有關買賣指令的正是黃。

證監會正另外就市場操縱行為向黃提出檢控。案件已訂於2014年2月20日進行審前覆核。

完

最後更新日期：2014年2月13日