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## SFC Prosecutes The Farm House Restaurant Limited and Mr Chan Hing To for unauthorised issue of advertisements in relation to an investment arrangement

3 Jun 1999

The SFC announced that on 1 June 1999 it had successfully prosecuted The Farm House Restaurant Limited (The Farm House Restaurant) and Mr Chan Hing To, the chairman of The Farm House Restaurant for the unauthorised issue of advertisements and documents in relation to an investment arrangement which invited members of the public to place deposits with The Farm House Restaurant and which guaranteed returns.

Both The Farm House Restaurant and Mr Chan were fined a total of \$ 87,000 by Ms Polly Lo at Western Magistracy, and ordered to pay costs of investigation of \$18,992 to the SFC in relation to 12 summonses for breaching Section 4 of the Protection of Investors Ordinance (PIO). Section 4 of the PIO prohibits any person from issuing an advertisement inviting the public to participate in an investment arrangement unless previously authorised by the SFC.

An investigation launched by the SFC found that The Farm House Restaurant caused 40 advertisements to be placed in the local newspapers and on one occasion distributed documents to the public inviting them to take part in an investment arrangement. The SFC has proceeded with 12 summonses which are considered representative of the overall picture of the case. These advertisements and documents had not been authorised by the SFC.

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## 證監會檢控農場餐廳有限公司及陳興濤指其就投資安排發出未經認可的廣告

1999年6月3日

證監會今天公布，在1999年6月1日成功檢控農場餐廳有限公司（農場餐廳）及農場餐廳主席陳興濤（陳氏），指該公司及陳氏就一項投資安排發出未經認可的廣告。該項投資安排邀請公眾人士向農場餐廳繳付按金，並附有保證回報。

西區裁判法院盧恒福裁判官判處農場餐廳及陳氏罰款合共87,000元，並須就12項違反《保障投資者條例》第4條的控罪，向證監會支付調查費用18,992元。《保障投資者條例》第4條禁止任何人士發出廣告邀請公眾人士參與一項投資安排，除非有關廣告事先已獲證監會認可。

證監會進行的調查發現農場餐廳在本地報章刊登40份廣告，並且曾經向公眾人士派發文件邀請他們參與一項投資安排。證監會提出這12項控罪，相信足可充分反映案情。上述廣告及文件並未獲證監會認可。

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