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SFC bans Chan Ka Chun for life

10 Oct 2013

The Securities and Futures Commission (SFC) has banned Mr Chan Ka Chun from re-entering the industry for life (Note 1).

On 22 January 2013, Chan was sentenced by the District Court to imprisonment of 23 months on one count of conspiracy to make false instruments.

The court found that between July 2009 and February 2010, Chan, an Associate Director at Falcon Private Bank Ltd., Hong Kong Branch (FPBHK), conspired with two clients to issue four false letters on FPBHK's letterhead showing proof of funds and credit facilities purportedly made available by FPBHK for the use of the two clients. The proof of funds and availability of credit facilities to the two clients were not authorized by FPBHK and were false (Note 2).

The SFC considers Chan not a fit and proper person to be licensed as a result of his conviction.

The case was referred to the SFC by the Hong Kong Monetary Authority.

End

Notes:

1. Chan was a relevant individual engaged by Falcon Private Bank Ltd., Hong Kong Branch to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance from February 2007 to February 2010. Chan is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.
2. The Reasons for Sentence are available on the judiciary website at www.judiciary.gov.hk (Case No: DCCC 1271/2011 & 811/2012).

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證監會終身禁止陳家俊重投業界

2013年10月10日

證券及期貨事務監察委員會（證監會）終身禁止陳家俊（男）重投業界（註1）。

2013年1月22日，陳因一項串謀偽造文書罪被區域法院判處監禁23個月。

區域法院裁定，陳在2009年7月至2010年2月出任瑞士安勤私人銀行有限公司香港分行（瑞士安勤香港）的聯席董事期間，串同兩名客戶，利用瑞士安勤香港的信箋發出四封虛假信件，當中顯示資金證明及據稱由瑞士安勤香港向該兩名客戶提供的信貸額。該等資金證明及可供該兩名客戶使用的信貸額均未經瑞士安勤香港授權，屬虛假資料（註2）。

鑑於陳被定罪，證監會認為他並非獲發牌的適當人選。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 在2007年2月至2010年2月期間，陳是受聘於瑞士安勤私人銀行有限公司香港分行進行《證券及期貨條例》下第1類（證券交易）及第4類（就證券提供意見）受規管活動的有關人士。陳目前沒有名列於香港金融管理局的紀錄冊，亦沒有獲證監會發牌。
2. 《判刑理由書》載於司法機構網站 www.judiciary.gov.hk（案件編號：DCCC 1271/2011及811/2012）。

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