

SFC bans Wong Chun for eight years over false trading

8 Oct 2015

The Securities and Futures Commission (SFC) has banned Wong Chun, a former licensed representative, from re-entering the industry for eight years following his earlier conviction and sentencing for false trading in the shares of Sino-Tech International Holdings Limited (Sino-Tech) (Notes 1 & 2).

Between December 2010 and January 2011, Wong created a false or misleading appearance of active trading in shares of Sino-Tech, using matched trades and some wash trades between his own account and the accounts of two other investors he was able to control to grossly inflate trading volume by more than 400%. As a result, the securities accounts controlled by Wong were able to off-load more than 200 million shares, making a gross profit of more than \$2 million that he would otherwise not be able to do so.

End

Notes:

1. Wong was licensed under the Securities and Futures Ordinance (SFO) to carry on business in Type 1 (dealing in securities), Type 2 (dealing in futures contracts) and Type 4 (advising on securities) regulated activities. Wong was accredited to Ping An of China Securities (Hong Kong) Company Limited (Ping An) as a dealer from September 2009 to August 2011.
2. Please see the SFC's press releases dated [27 May 2015](#) and [19 June 2015](#).

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黃俊因進行虛假交易遭證監會禁止重投業界八年

2015年10月8日

證券及期貨事務監察委員會（證監會）在前持牌代表黃俊（男）早前被裁定就泰豐國際集團有限公司（泰豐）的股份進行虛假交易罪成及被判刑後，禁止黃重投業界八年（註1及2）。

在2010年12月至2011年1月期間，黃藉控制另外兩名投資者的帳戶與其本身的帳戶進行配對交易及若干虛售交易，將泰豐股份的成交量大幅推高400%，從而營造出泰豐股份交投活躍的虛假或具誤導性表象。結果，黃控制的證券帳戶得以拋售超過二億股股份，從中獲取逾200萬元毛利。若非透過上述手段，該等證券帳戶根本不可能拋售該批股份並賺取該筆利潤。

完

備註：

1. 黃曾根據《證券及期貨條例》獲發牌從事第1類（證券交易）、第2類（期貨合約交易）及第4類（就證券提供意見）受規管活動。黃在2009年9月至2011年8月期間是隸屬於中國平安證券（香港）有限公司的交易員。
2. 請參閱證監會2015年5月27日及2015年6月19日的新聞稿。

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