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## SFC bans Daniel Chen Chi Lik for life

20 Apr 2017

The Securities and Futures Commission (SFC) has banned Mr Daniel Chen Chi Lik, a former staff of Bank of China (Hong Kong) Limited (BOCHK), from re-entering the industry for life following his conviction for theft by the Eastern Magistrates' Court in October 2016 (Notes 1 & 2).

The court found that Chen, who was then a bank manager at a branch of BOCHK, had stolen a total of \$40,000 from a teller cash box assigned to him on several occasions in September 2016.

The SFC considers that Chen is not a fit and proper person to be licensed or registered to carry on regulated activities as a result of his criminal conviction.

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

End

Notes:

1. Chen was a relevant individual engaged by BOCHK to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance from 1 April 2003 to 27 September 2016. Chen is currently neither registered with the Hong Kong Monetary Authority nor licensed by the SFC.
2. The Eastern Magistrates' Court sentenced Chen to two months' imprisonment on 19 October 2016 after his conviction.

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## 證監會終身禁止陳自力重投業界

2017年4月20日

中國銀行（香港）有限公司（中銀香港）前僱員陳自力（男）於2016年10月被東區裁判法院裁定盜竊罪成後，遭證券及期貨事務監察委員會（證監會）終身禁止重投業界（註1及2）。

法院裁定，陳於2016年9月任職中銀香港一間分行銀行經理期間，數度從他獲編配的櫃員現金尾數箱中偷取合共40,000元。

鑑於陳被判刑事罪名成立，證監會認為他並非獲發牌或註冊進行受規管活動的適當人選。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 陳曾在2003年4月1日至2016年9月27日期間，獲中銀香港聘用為根據《證券及期貨條例》進行第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。陳目前既沒有名列於香港金融管理局的紀錄冊，亦非證監會持牌人。
2. 陳被裁定罪成後，在2016年10月19日被東區裁判法院判處監禁兩個月。

最後更新日期：2017年4月20日