
Enforcement News

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2 November 1999

SFC Successfully Prosecutes Mr Thomas Alexej Hall, Mr Christopher John Parker, Mr Neil Hamilton Pearce, and Ms Tsang Tin Wai Flora for Possession and Issuance of Unauthorised Advertisements and Marketing Documents in relation to Investment Arrangements

The Securities and Futures Commission (SFC) announces today that it has successfully prosecuted:

- Mr Thomas Alexej Hall (Hall), who is the Managing Director of Tresidder Tuohy and Partners (HK) Limited (TTP), for issuance of unauthorised advertisements in a local newspaper, and for possession for the purposes of issue of unauthorised marketing documents at the premises of TTP. Both advertisements and marketing documents invited members of the public to take part in investment arrangements that guaranteed returns; and
- Mr Christopher John Parker (Parker), Mr Neil Hamilton Pearce (Pearce), and Ms Tsang Tin Wai Flora (Tsang) for issuance of unauthorised marketing documents, which invited members of the public to take part in investment arrangements that guaranteed returns. Parker, Pearce and Tsang are all staff members of the sales team of TTP.

Hall, Parker, Pearce, and Tsang all pleaded guilty before Ms Polly Lo of the Western Magistracy and were fined as follows:

- Hall for \$90,000 in relation to five summonses for breaching Section 4 of the PIO;
- Parker for \$40,000 in relation to one summons for breaching Section 4 of the PIO;
- Pearce for \$40,000 in relation to one summons for breaching Section 4 of the PIO; and
- Tsang for \$60,000 in relation to three summonses for breaching Section 4 of the PIO.

The four defendants were ordered to pay investigation costs totalled \$18,336 to the SFC in relation to the ten summonses.

Page last updated: 20 June 2007

證監會成功檢控Thomas Alexej Hall、Christopher John Parker、Neil Hamilton Pearce及曾天慧指上述人士管有及發出關於投資安排但未經認可的廣告及推廣文件

1999年11月2日

證券及期貨事務監察委員會（證監會）今天公布，本會已成功檢控：

- 怡達理財投資顧問有限公司（怡達）的董事總經理 Thomas Alexej Hall (Hall)，指其在本港報章刊登未經認可的廣告，並在怡達的物業內管有未經認可而打算發出的推廣文件。該等廣告及推廣文件均為邀請公眾參與若干有回報保證的投資安排；及
- Christopher John Parker (Parker)、Neil Hamilton Pearce (Pearce) 及曾天慧（曾氏），指上述人士發出未經認可的推廣文件。該等文件邀請公眾參與若干有回報保證的投資安排。Parker、Pearce 及曾氏均為怡達營業隊伍的職員。

Hall、Parker、Pearce 及曾氏均在西區裁判法院向盧恆福裁判法官承認控罪，並被判處以下罰款：

- Hall 就違反《保障投資者條例》（該條例）第 4 條的 5 項控罪，被判處罰款 90,000 元；
- Parker 就違反該條例第 4 條的 1 項控罪，被判處罰款 40,000 元；
- Pearce 就違反該條例第 4 條的 1 項控罪，被判處罰款 40,000 元；及
- 曾氏就違反該條例第 4 條的 3 項控罪，被判處罰款 60,000 元。

四名被告被命令須就上述 10 項控罪向證監會支付調查費用合共 18,336 元。

最後更新日期：2012年8月1日