

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [All news](#)

Court convicts unlicensed adviser on futures contracts

22 Aug 2013

The Eastern Magistracy today convicted Mr Ting Kwong Yau of advising on futures contracts and issuing related advertisements on internet without a licence issued by the Securities and Futures Commission (SFC) (Notes 1 & 2).

Ting, who pleaded guilty today, was fined a total of \$11,500 and was ordered to pay the SFC's investigation costs.

The Court heard that between March and August 2011, Ting, in the name of "Aladdin", placed advertisements on a website in which he held himself out as being prepared to advise on futures contracts and between May and August 2011, provided real-time "signals" to subscribers on when to buy, sell or hold Hang Seng Index futures.

Aladdin closed down his service straight after his unlicensed activities were detected by the SFC.

The SFC reminds investors to check the SFC's Public Register of Licensed Persons and Registered Institution at www.sfc.hk to ensure that people who provide advice on regulated activities are properly licensed.

End

Notes:

1. Under section 114 of the Securities and Futures Ordinance (SFO), it is an offence to carry on a business in regulated activities without a licence.
2. Under section 109 of the SFO, and subject to specified exemptions, it is an offence to issue advertisements relating to carrying on of regulated activities without a licence.

Page last updated : 22 Aug 2013

主頁 ▶ 新聞稿及公布 ▶ 新聞稿 ▶ 執法消息

法院裁定無牌期貨合約顧問罪名成立

2013年8月22日

丁廣游（男）在未獲證券及期貨事務監察委員會（證監會）發牌的情況下，透過互聯網就期貨合約提供意見及發出相關廣告，今天在東區裁判法院被裁定罪名成立（註1及2）。

丁今天承認控罪，被判罰款合共11,500元，並須繳付證監會的調查費。

案情指，於2011年3月至8月期間，丁以"Aladdin"的名義在一個網站刊登廣告顯示自己準備就期貨合約提供意見，並於2011年5月至8月期間，就應在何時買入、沽出或持有恒生指數期貨，向用戶發出實時"訊號"。

Aladdin被證監會發現其無牌活動後已即時結束其服務。

證監會提醒投資者查看證監會網站www.sfc.hk內的持牌人及註冊機構的公眾紀錄冊，以確保就受規管活動提供意見的人士已領有適當的牌照。

完

備註：

1. 根據《證券及期貨條例》第114條，凡未領有牌照而經營受規管活動的業務，即屬犯罪。
2. 根據《證券及期貨條例》第109條，除特定的豁免情況外，凡未領有牌照而發出有關進行受規管活動的廣告，即屬犯罪。

最後更新日期：2013年8月22日