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SFC bans Chau Hang Yu and Steve Chow Chun Yin for life

7 Sep 2016

The Securities and Futures Commission (SFC) has banned Ms Chau Hang Yu and Mr Steve Chow Chun Yin, both former employees of The Hongkong and Shanghai Banking Corporation Limited (HSBC), from re-entering the industry for life following their criminal convictions (Notes 1 & 2).

The District Court found that Chau and Chow, both of whom were responsible for selling and promoting investment products at HSBC and knew one another at the material times, made false claims in 2012 and 2014 that certain HSBC customers had agreed to subscribe for unit trust funds (UTFs). They received sales commission after HSBC processed the subscription orders in the belief that they had sold the UTFs to the customers when in fact it was not the case (Note 3).

The District Court also found that Chau referred her customers to Chow so that he could obtain more sales commission after she had reached the cap for receiving sales commission. Chau later asked Chow for customer referral fees. He gave her \$100,000.

The SFC considers Chau and Chow are not fit and proper persons to be licensed or registered to carry on regulated activities as a result of their convictions.

End

Notes:

1. Chau (formerly known as Aixingero Chat Yung) and Chow were relevant individuals engaged by HSBC to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance. Both Chau and Chow are currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.
2. On 23 February 2016, Chau was sentenced to 12 months of imprisonment after her conviction for two counts of fraud under the Theft Ordinance. Chow was sentenced to 18 months of imprisonment after his conviction for two counts of fraud under the Theft Ordinance and one count of offering an advantage to an agent under the Prevention of Bribery Ordinance.
3. Please see the Reasons for Sentence (Case No: DCCC 130/2015) which is available on the Judiciary's website (www.judiciary.gov.hk).

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證監會終身禁止周倅如及周俊彥重投業界

2016年9月7日

證券及期貨事務監察委員會（證監會）終身禁止香港上海滙豐銀行有限公司（滙豐）兩名前僱員周倅如（女）及周俊彥（男）重投業界。兩人於較早時被判刑事罪名成立（註1及2）。

在關鍵時間，周倅如及周俊彥的職責均為銷售及推廣滙豐的投資產品，且互相認識。區域法院裁定，他們在2012年及2014年假稱若干滙豐客戶已同意認購單位信託基金。由於滙豐相信他們已向該等客戶銷售有關單位信託基金，遂在處理認購指示後向他們發放銷售佣金，惟事實並非如此（註3）。

區域法院亦裁定，周倅如在達到銷售佣金上限後把客戶轉介給周俊彥，讓他可賺取更多銷售佣金。周倅如其後向周俊彥索取客戶轉介報酬，周俊彥向周倅如提供了100,000元。

鑑於周倅如及周俊彥被定罪，證監會認為他們並非獲發牌或註冊進行受規管活動的適當人選。

完

備註：

1. 周倅如（前稱愛新覺羅札蓉）及周俊彥曾是受聘於滙豐進行《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。周倅如及周俊彥現時沒有名列於香港金融管理局的紀錄冊，亦並非證監會持牌人。
2. 2016年2月23日，周倅如被判定兩項《盜竊罪條例》下的欺詐罪名成立，被判處監禁12個月。周俊彥被判定兩項《盜竊罪條例》下的欺詐罪名及一項《防止賄賂條例》下的向代理人提供利益罪名成立，被判處監禁18個月。
3. 請參閱載於司法機構網站（www.judiciary.gov.hk）的判刑理由（案件編號DCCC 130/2015）。

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