

## SFC Circular - SFC bans Chan Wai Chun for life

The Securities and Futures Commission (SFC) has banned Mr Chan Wai Chun, a former customer relationship manager of Dah Sing Bank Limited (DSB), from re-entering the industry for life following his conviction for fraud.

The District Court found that in March 2021, Chan persuaded an elderly customer of DSB to redeem her investment in a fund and reinvest the redeemed amount in another fund to earn higher interest yield.

The customer agreed with Chan's suggestion and signed some documents under Chan's instructions for the redemption. However, Chan never invested in any new fund for the customer and later transferred \$1,195,000 from the customer's account to his personal account and used the money to repay his own debts.

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

The case was referred to the SFC by the HKMA.

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中文版本

## 證監會終身禁止陳煒俊重投業界

證券及期貨事務監察委員會（證監會）在大新銀行有限公司（大新銀行）前客戶關係經理陳煒俊（男）被裁定欺詐罪名成立後，終身禁止他重投業界。

區域法院裁定，陳在2021年3月游說一名大新銀行的長者客戶贖回她在一隻基金的投資，並將贖回的款項重新投資於另一隻基金，以賺取更高的利息收益。

該客戶同意陳的建議，並在陳的指示下簽署了一些文件，以便進行贖回。然而，陳從未為該客戶投資任何新基金，其後更從該客戶的帳戶轉出1,195,000元至他的個人帳戶，並用這筆款項償還自身的債務。

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。

本個案由金管局轉介證監會跟進。

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