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SFC Prosecutes Ho Yan Lock for Provision of False Information

1 Apr 2003

The SFC has successfully prosecuted Mr Ho Yan Lock under the Securities and Futures Commission Ordinance.

Under the Financial Resources Rules, a registered securities dealer is under a duty to provide its financial information to the SFC by periodically lodging a monthly financial return (FR). Ho was the accountant of Quest Stockbrokers (H.K.) Limited responsible for lodging the monthly financial returns with the SFC. On 8 March 2002, Ho provided false information to the SFC concerning one item on Quest's January 2002 FR. Between 8 and 13 March 2002, Ho further provided false supporting information to substantiate the same item in Quest's January 2002 FR.

Ho today pleaded guilty to two summonses relating to provision of false information to the Commission. Ms Polly Lo, a magistrate at Western Magistracy, fined Ho a total of \$90,000 and ordered him to pay costs of \$18,215 to the SFC.

Mr Alan Linning, SFC's Executive Director of Enforcement, said: "The Commission expects all registered securities dealers to co-operate by submitting true and correct information and documents to the Commission. In addition to prosecution, we will discipline registered persons found to have deliberately or recklessly misled the regulator."

Ends

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證監會檢控何焯樂提供虛假資料

2003年4月1日

證監會已成功根據《證券及期貨事務監察委員會條例》檢控何焯樂。

根據《財政資源規則》，註冊證券交易商有責任定期向證監會呈交每月財務申報表，以便提供其財務資料。何氏是華輝證券有限公司的會計師，負責向證監會呈交每月財務申報表。在2002年3月8日，何氏就華輝於2002年1月的財務申報表的其中一個項目，向證監會提供虛假資料。在2002年3月8日至13日期間，何氏進一步提供虛假的證明文件，以證明上述的1月份財務申報表的有關項目屬實。

何氏今日承認兩項關於向證監會提供虛假資料的控罪。西區裁判法院裁判官盧恆福判處何氏罰款共90,000元，並且命令何氏須向證監會繳付18,215元調查費用。

證監會法規執行部執行董事李顯能表示：“證監會要求所有註冊證券交易商都與本會合作，向我們呈交真確無訛的資料及文件。一旦證監會發現任何註冊人曾蓄意或罔顧後果地誤導本會，我們除了檢控該註冊人外，亦會對其作出紀律處分。

完

最後更新日期：2012年8月1日