

Severe Penalties for Lying to SFC

17 Apr 2007

The SFC notes today's decision in the District Court imposing terms of imprisonment on Ms Ha Pon Lin Emily, a solicitor, and Mr Ng Ting Shag, a former licence holder, following investigation by the SFC and ICAC (following referral by the SFC).

Today's decision followed an investigation by the SFC into Ng's conduct as an employee of Lee On Tat Securities Limited into suspicions he had stolen shares belonging to clients of the firm. During the SFC's investigation, Ng was represented by a solicitor, Ha. As the investigation progressed, the SFC became suspicious that Ha and Ng had invented a story and lied to cover up the suspected thefts. On this basis, the SFC subsequently referred the case to ICAC.

In criminal proceedings brought by ICAC, Ha was convicted on one count of conspiracy to pervert the course of justice and sentenced today to 12 months' imprisonment and Ng was convicted on one count of conspiracy to pervert the course of justice and several counts of theft and sentenced to 14 months' imprisonment.

Last year, the SFC revoked Ng's licence and banned him from re-applying for a licence for life (Note 1).

"The SFC thanks ICAC for its efforts in concluding this case which demonstrates that the Court will impose severe penalties on those who lie or mislead the SFC in the course of its investigations," said Mr Mark Steward, SFC's Executive Director of Enforcement.

Ends

Notes:

1. Please see [press release issued on 17 May 2006](#) for details.

Page last updated : 1 Aug 2012

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

因向證監會說謊而被重罰

2007年4月17日

證監會注意到區域法院今天對律師夏邦蓮(女)及前持牌人伍庭石(男)判處監禁刑期，該項裁決是法院在證監會及廉政公署(經證監會轉介後)進行有關調查後而作出的。

今日的裁決源自證監會對伍在受僱於Lee On Tat Securities Limited期間的行為所進行的調查，當中伍被懷疑曾盜竊屬於該商號客戶的證券。在證監會的調查當中，夏擔任伍的代表律師。在調查進行期間，證監會懷疑夏與伍捏造故事及說謊，以圖掩飾涉嫌盜竊的行為。有鑑於此，證監會遂將個案轉介廉政公署。

在廉政公署提出的刑事檢控程序中，夏就一項串謀妨礙司法公正罪行而被判罪名成立，並於今日被判監禁12個月；伍就一項串謀妨礙司法公正及數項盜竊罪行而被判罪名成立，被判監禁14個月。

去年，證監會撤銷伍的牌照，並終身禁止他重新申請牌照(註1)。

證監會法規執行部執行董事施衛民先生(Mr Mark Steward)表示：“證監會感謝廉政公署在了結本案方面所作的努力，本案顯示法院會對在證監會進行調查期間向本會說謊或誤導本會的人士施加嚴厲處罰。”

完

備註：

1. 詳情請參閱於[2006年5月17日發表的新聞稿](#)。

最後更新日期：2012年8月1日