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An Applicant for Registration Convicted of Misleading SFC

23 Jan 1997

The Securities and Futures Commission ("SFC") announced today that Mr Tong Chung Wai ("Tong") was convicted by Mr I S C Candy at Western Magistracy on 17 January 1997 for providing false or misleading representations in his application to become licensed with the SFC. He was fined \$10,000 and ordered to pay cost of \$3,500 to the SFC.

The offence came to light following an investigation initiated by the SFC and concluded by the Criminal Investigation Department of Waterfront Police Station.

In his application to become a licensed representative under the Leveraged Foreign Exchange Trading Ordinance accredited to Emperor International Exchange (Hong Kong) Limited, Tong claimed that he had no criminal conviction when such was not the case.

Commenting on the prosecution, Mr Paul Bailey, Senior Director of Enforcement, said "The SFC views such misrepresentation very seriously as it puts in jeopardy the integrity of the entire registration and licensing process which in turn has the potential to harm the interests of the investing public."

Page last updated : 1 Aug 2012

註冊申請人誤導證監會罪名成立

1997年1月23日

證券及期貨事務監察委員會("證監會")今天公布唐忠偉("唐氏")於1997年1月17日在西區裁判法院被簡達仁裁判法官定罪,指其在向證監會申領牌照時,曾作出虛假或誤導的陳述。唐氏被判罰款港幣10,000元及須向證監會支付港幣3,500元的調查費用。

上述罪行是經證監會的調查後被揭發,然後再由海傍警署刑事偵緝部完成有關調查。

唐氏在根據《槓桿式外匯買賣條例》向證監會申請作為隸屬於英皇金融集團(香港)有限公司的持牌代表時,向證監會聲稱並無犯罪紀錄,但事實並非如此。

證監會法規執行部高級總監白禮賢在評論有關檢控時表示:"證監會十分嚴厲看待註冊申請人所作的虛假陳述,因為這種行為有損證監會整個註冊及發牌制度的健全性,從而可能影響投資大眾的利益。"

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