

## Chan Siu Wai Prosecuted for Misleading SFC

1 Jun 1999

Mr. Chan Siu Wai (Chan), was successfully prosecuted at Western Magistracy on 14 May 1999 for providing false or misleading representations in his application to become licenced with the Securities and Futures Commission (SFC). The Western Magistracy fined him \$5,000.

This offence came to light following an investigation commenced by the SFC and concluded by the Criminal Investigation Department of Waterfront Police Station. The conviction of Chan related to his providing a false statement to the SFC that he had no criminal conviction. This statement was made by him in his application to become a licenced representative under the Leveraged Foreign Exchange Trading Ordinance accredited to Hantec International Limited.

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

Page last updated : 1 Aug 2012

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

## 陳兆威誤導證監會遭檢控

1999年6月1日

1999年5月14日，陳兆威(陳氏)在西區裁判法院被控在其向證券及期貨事務監察委員會申領牌照時，提供虛假及誤導的陳述。陳氏罪名成立，被判罰款5,000元。

這項罪行先由證監會的調查所揭發，其後再由海傍警署刑事偵輯科完成有關調查。有關控罪涉及陳氏向證監會作出一項虛假陳述，聲稱其本人並無犯罪紀錄。這項陳述是陳氏向證監會申領作為隸屬於亨達國際金融投資有限公司的槓桿式外匯買賣商代表的牌照時作出的。

證監會法規執行董事白禮賢在評論這項檢控行動時表示：“證監會十分嚴厲看待陳氏這次的行為，因為這類行為會打擊整個註冊及發牌制度的健全性，從而可能損及投資大眾的利益。”

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