

Lo Tsz Lung Ernest Prosecuted for Misleading SFC

24 Jun 1999

Mr Lo Tsz Lung Ernest (Lo) pleaded guilty at Western Magistracy on 11 June 1999 for contravening section 10 of the Leveraged Foreign Exchange Trading Ordinance (LFETO) and section 74 of the Crimes Ordinance in that he, in support of his application to become a licensed representative under the LFETO, made a false and misleading representation to the SFC by using a copy of a false certificate. Lo was sentenced to three months' imprisonment, suspended for eighteen months and fined a total of \$4,000.

These offences came to light following an investigation commenced by the SFC and concluded by the Criminal Investigation Department of Waterfront Police Station. In his application to become a licensed representative accredited to Tse's Forex Investment Company Limited, Lo submitted a copy of a false Hong Kong Certificate of Education Examination to the SFC representing that he possessed a requisite educational qualification for the licence.

Page last updated : 1 Aug 2012

盧子龍被控誤導證監會

1999年6月24日

盧子龍(盧氏)於1999年6月11日在西區裁判法院承認指稱他違反《槓桿式外匯買賣條例》(《槓桿外匯條例》)第10條及《刑事罪行條例》第74條的控罪，即在其根據《槓桿外匯條例》申請成為持牌代表時，曾使用虛假的證書副本作為證明文件，向證監會作出不實而誤導的陳述。盧氏被判監禁3個月，緩期18個月執行，另判處罰款4,000元。

證監會對上述事件展開調查並其後交由海傍分區警處的刑事調查隊著手處理後，上述罪行終被揭發。盧氏在申請註冊為隸屬於謝氏外匯投資有限公司的持牌代表時，向證監會呈遞虛假的香港中學會考證書，以表示其擁有申領牌照時所必需具備的學歷資格。

最後更新日期：2012年8月1日