

[Home](#) ▶ [News & announcements](#) ▶ [News](#) ▶ [Enforcement news](#)

Yip Ling Ling Prosecuted for Misleading SFC

23 Mar 2000

Yip Ling Ling (Yip), was successfully prosecuted at Western Magistracy on 17 March 2000 for providing false or misleading representations in her application to become licensed with the SFC. The Western Magistracy fined her \$2,000.

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 Yip related to her providing a false statement to the SFC that she had no criminal conviction. This statement was made by her in her application to become a licensed investment representative under the Securities Ordinance accredited to Haywood International Financial Planning Limited.

Page last updated : 1 Aug 2012

葉玲玲因誤導證監會遭檢控

2000年3月23日

2000年3月17日，葉玲玲(葉氏)在西區裁判法院被提控。有關控罪指葉氏向證監會申領牌照時，曾作出虛假或誤導的陳述。葉氏被西區裁判法院罰款2,000元。

該項罪行經證監會展開調查後被揭發，最後由海傍警署刑事調查隊接手完成有關調查。有關控罪涉及葉氏向證監會作出虛假陳述，聲稱其本人並無犯罪紀錄。葉氏是向證監會申請作為根據《證券條例》隸屬於希活國際財經策劃有限公司的持牌投資代表時作出該等陳述的。

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