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Licence applicant convicted of providing false information to SFC

28 Apr 2016

The Eastern Magistrates' Court today convicted Mr Chiu Sing Ho of making false or misleading representations in his two licence applications to the Securities and Futures Commission (SFC).

Chiu was fined \$10,000 and ordered to pay the SFC's investigation costs after pleading guilty.

The SFC found that, in November 2012 and December 2014, Chiu did not disclose to the SFC his previous criminal conviction in two licence applications (Note 1).

The SFC expects applicants to make full and accurate disclosure of all information required in a licence application. Failure of applicants to do so might affect their fitness and properness to be licensed.

End

Note:

1. Pursuant to section 383 of the Securities and Futures Ordinance, applicants are required to disclose all prior criminal convictions, including those which the Rehabilitation of Offenders Ordinance (Cap 297) applies to, disciplinary sanctions in relation to any trade, business or profession and whether they have been investigated by a local or foreign regulatory or criminal investigatory body.

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牌照申請人被裁定向證監會提供虛假資料罪成

2016年4月28日

東區裁判法院今天裁定，趙星皓（男）在向證券及期貨事務監察委員會（證監會）提出的兩項牌照申請中作出虛假或具誤導性的陳述罪名成立。

趙承認控罪後被判罰款10,000元，並被命令繳付證監會的調查費。

證監會發現，趙在2012年11月和2014年12月提出的兩項牌照申請中，沒有向證監會披露其刑事定罪紀錄（註1）。

證監會要求申請人在牌照申請中，必須全面而準確地披露全部所需資料，否則可能會影響申請人作為持牌人人選的適當性。

完

備註：

1. 根據《證券及期貨條例》第383條，申請人必須披露其所有刑事定罪紀錄（包括《罪犯自新條例》（第297章）所適用者）、曾就任何交易、業務或專業所接受的紀律處分，以及是否曾遭受本地或海外監管或刑事調查機構的調查。

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