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Licence applicant convicted of providing false information to SFC

11 May 2018

The Eastern Magistrates' Court convicted Mr Lui Ho Yeung after he pleaded guilty to two counts of making false or misleading representations in support of his licence applications to the Securities and Futures Commission (SFC).

Lui failed to disclose his previous criminal conviction in his SFC licence applications in 2009 and 2015 respectively. He was fined \$12,000 and also ordered to pay the SFC's investigation costs (Note 1).

The SFC expects applicants to make complete, true and correct disclosure of all information submitted with any licence application. Failure to do so may affect their fitness and properness to be licensed.

End

Note:

1. Under section 383 of the Securities and Futures Ordinance, a person commits an offence if he in a licensing application makes a representation that is false or misleading in a material particular and he knows that or is reckless about that.

Applicants are required to disclose prior criminal convictions including those to which the Rehabilitation of Offenders Ordinance applies.

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牌照申請人被裁定向證監會提供虛假資料罪成

2018年5月11日

雷浩洋（男）承認兩項指其為了支持自己向證券及期貨事務監察委員會（證監會）提出的牌照申請而作出虛假或具誤導性陳述的控罪，被東區裁判法院裁定罪名成立。

雷於2009年及2015年在向證監會提交牌照申請時，均未有披露其刑事定罪紀錄。他被罰款12,000元，並被命令繳付證監會的調查費（註1）。

證監會要求申請人完整、真實和正確地披露所有就牌照申請而提交的資料，否則他們作為持牌人的適當人選資格可能會受到影響。

完

備註：

1. 根據《證券及期貨條例》第383條，任何人如在牌照申請中作出明知在要項上屬虛假或具誤導性的陳述，或罔顧該陳述在要項上屬虛假或具誤導性，即屬犯罪。

申請人須披露刑事定罪紀錄，包括《罪犯自新條例》所適用的定罪。

最後更新日期：2018年5月11日