

## Chan Yuk Ping Prosecuted for Misleading SFC

19 Aug 1999

Chan Yuk Ping (Chan), was successfully prosecuted at Western Magistracy on 13 August 1999 for providing false or misleading representations in her application to become licenced with the Securities and Futures Commission (SFC). The Western Magistracy fined her \$1,500.

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 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 licenced dealer's representative under the Securities Ordinance accredited to Sanfull Securities Limited.

As SFC spokesperson commenting on the prosecution said, "The SFC is of the view that Chan's conduct 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

## 陳玉萍因誤導證監會遭檢控

1999年8月19日

1999年8月13日，陳玉萍(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(證監會)申領牌照時，作出虛假或誤導的陳述。陳氏被判罪名成立，並須繳付罰款1,500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。有關控罪涉及陳氏向證監會作出虛假陳述，聲稱其本人並無犯罪紀錄。陳氏是根據《證券條例》向證監會申請作為隸屬於新富證券有限公司的持牌交易商代表時作出該等陳述的。

證監會一名發言人在評論該宗檢控時表示：“證監會認為陳氏的行為不但打擊整個註冊及發牌制度的健全運作，而且可能損害投資大眾的利益。”

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