

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

An Applicant for Registration Convicted of Misleading SFC

13 Aug 1998

The Securities and Futures Commission announced today that Ms Chan Suet Hing, Tracy (Chan) had pleaded guilty before Mr P C White at Western Magistracy on 3 August 1998 of providing false and misleading representations in her application to become registered with the SFC. She was fined \$3,000.

The offence came to light following an investigation initiated by the SFC and concluded by the Criminal Investigation Department of Waterfront Police Station.

In her application to become a dealer's representative under the Securities Ordinance accredited to Tang Ping Kong Limited, Chan claimed that she had no criminal conviction when such was not the case.

For further information, please contact Bill Weeks at 2840-9289 or Chan Chi Keung at 2842-7624.

Page last updated : 1 Aug 2012

[主頁](#) ▶ [新聞稿及公布](#) ▶ [新聞稿](#) ▶ [執法消息](#)

註冊申請人誤導證監會罪名成立

1998年8月13日

證券及期貨事務監察委員會今天宣布，陳雪卿（陳氏）於1998年8月3日在西區裁判法院向裁判官韋達承認其在向證監會申請成為註冊人時曾作出虛假及誤導性陳述，及被判罰款3,000元。

陳氏的罪行最初由證監會展開的調查所揭發，其後交由海傍警署刑事偵緝處完成調查。

陳氏在根據《證券條例》向證監會申請註冊成為太平行證券有限公司的交易商代表時，聲稱沒有犯罪紀錄，但事實並非如此。

如有進一步的查詢，請致電聯絡韋克志（2840 - 9289）或陳志強（2842 - 7624）。

最後更新日期：2012年8月1日