

Pan Guoqiang Prosecuted for Misleading SFC

12 Nov 1999

Mr Pan Guoqiang (Pan), was successfully prosecuted at Western Magistracy on 11 November 1999 for providing false or misleading representations in his application to become licenced with the Securities and Futures Commission (SFC). Pan was sentenced to six months' imprisonment, suspended for 2 years and fined \$5,000.

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 Pan related to his providing a false statement to the SFC that he had no criminal conviction. This statement was made by him in his application to become a licenced dealer's representative under the Commodities Trading Ordinance accredited to Tanrich Futures Limited.

A SFC spokesperson commenting on the prosecution said, "The SFC is of the view that Pan'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

潘國強因誤導證監會遭檢控

1999年11月12日

1999年11月11日，潘國強(潘氏)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，提出虛假或誤導的陳述，罪名成立。潘氏被判處監禁6個月，但緩刑2年及須繳付罰款5,000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。有關控罪涉及潘氏向證監會作出虛假陳述，聲稱其本人並無犯罪紀錄。潘氏是根據《商品交易條例》向證監會申請作為隸屬於敦沛期貨有限公司的持牌交易商代表時作出該等陳述的。

證監會的發言人在評論該宗檢控時表示：“證監會認為潘氏的行為打擊整個註冊及發牌制度的健全運作，因而可能損害投資大眾的利益。”

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