

# SFC Revokes the Registration of Ho Yin Mui Fenny

22 Jun 2000

The Securities and Futures Commission (SFC) announced today that it had revoked the registration of Ms Ho Yin Mui Fenny (Ho) as a dealer’s representative under the Securities Ordinance.

The revocation stems from inquiries in which the SFC found that Ho had, whilst a dealer’s representative of Prosperous Securities Limited (Prosperous):

- used clients’ assets and securities without their authority and provided false documentation to clients to mislead those clients as to the state of their accounts at Prosperous; and
- conducted trades through clients’ accounts without their knowledge or consent.

A spokesman of SFC said that Ho’s gross abuse of her clients’ trust warrants the revocation of her registration.

Page last updated : 1 Aug 2012

# 證監會撤銷何燕梅的註冊資格

2000年6月22日

證券及期貨事務監察委員會（證監會）今天宣布，本會已根據《證券條例》撤銷何燕梅（何氏）的交易商代表註冊資格。

撤銷上述註冊資格的行動源自證監會的一宗查訊。有關查訊發現何氏在擔任鴻利證券有限公司（鴻利）的交易商代表時：

- 未得客戶授權而擅自動用客戶的資產及證券，並向客戶提供虛假的文件，藉以誤導客戶有關其在鴻利所開立的賬戶的情況；及
- 在客戶不知情或未得客戶同意的情況下，透過客戶的賬戶進行買賣。

證監會發言人表示，何氏嚴重違背客戶對她的信任，因此，撤銷其註冊資格的決定實屬恰當。

最後更新日期：2012年8月1日