

# SFC Reprimands Ms Ho Yuen Wah Ida

21 Jun 2001

The Securities and Futures Commission (SFC) announced today that it had reprimanded Ms Ho Yuen Wah, Ida (Ho), formerly a registered dealer under the Securities Ordinance (SO).

The action stemmed from an inquiry conducted under section 56 of the SO which revealed that Ho, whilst acting as a director and person concerned in the management of Carrier Stock Investment Company Limited ("Carrier"), had executed certain significant transactions in September/October 1997 in accordance with verbal instructions given by a third party without having first verified whether the third party had been duly authorised by the actual account holder to act on its behalf. The SFC found that Ho had failed to discharge her function of properly managing and supervising Carrier's business and failed to exercise due care and diligence in protecting the client's interests and the integrity of Carrier's operations, thus putting the clients' assets at risk.

Accordingly, the SFC concluded that Ho had been guilty of misconduct and her fitness and properness as a director or person concerned in the management of a registered corporation had been impugned. Ho has further agreed not to lodge an application for registration as a supervisory director within one year.

Page last updated : 1 Aug 2012

# 證監會譴責何婉華

2001年6月21日

證券及期貨事務監察委員會（證監會）今天公布，本會已譴責先前根據《證券條例》註冊的交易商何婉華（何氏）。

上述行動源自一宗根據《證券條例》第 56 條進行的查訊，當中發現何氏身為嘉利證券有限公司(嘉利)的董事及參與該公司的管理的人士，在 1997 年 9 月/10 月期間，未有先核實一名第三者有否獲某個賬戶的實際持有人適當授權代其行事，便依照該名第三者的口頭指示，執行若干宗大額交易。證監會認為何氏未有履行適當地管理及監督嘉利的業務的職責，及未有適當地採取審慎及勤勉的措施來保障客戶的權益和確保嘉利穩健操作，令有關客戶的資產蒙受風險。

因此，證監會認為何氏犯有失當行為，及使人質疑其是否適宜擔任註冊法團的董事或參與其管理。何氏亦已同意在一年內不會向本會遞交註冊作為監督董事的申請。

最後更新日期：2012年8月1日