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SFC suspends Ho Ying

5 Feb 2010

The Securities and Futures Commission (SFC) has suspended Ms Ho Ying, formerly a licensed representative of OSK Securities Hong Kong Ltd, for five months from 3 February 2010 to 2 July 2010 (Note 1).

The disciplinary action follows an SFC investigation which found that in June 2007, Ho falsely represented that:

- she had witnessed a client's execution of the account opening documents; and
- she had explained the client agreement and the attached risk disclosure statement to that client,

when in fact she did neither.

In deciding on the disciplinary sanction, the SFC took into account all circumstances, including Ho's admission and clean disciplinary record.

End

Note:

1. Ho who is licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities was accredited to OSK Securities Hong Kong Ltd at the material time. She is currently not accredited to any licensed corporation.

Page last updated : 1 Aug 2012