

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

SFC suspends Ho Leuk Ming

16 Apr 2009

The Securities and Futures Commission (SFC) has suspended the licence of Mr Ho Leuk Ming for four months from 16 April 2009 to 15 August 2009 (Note 1).

The disciplinary action follows an investigation by the SFC which found that Ho had:

- conducted discretionary trades in his mother's accounts without obtaining written authorisation;
- short sold securities; and
- failed to keep proper audit trail of client order instructions.

Ho's suspension was reduced by one month because he cooperated with the SFC and readily accepted his responsibility for the misconduct.

End

Notes:

1. Ho is licensed under the Securities and Futures Ordinance to carry on Type 1 (dealing in securities) and Type 2 (dealing in futures contracts) regulated activities and is accredited to Core Pacific-Yamaichi Securities (H.K.) Ltd, Core Pacific-Yamaichi International (H.K.) Ltd and Core Pacific-Yamaich Futures (H.K.) Ltd.

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