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## SFC bans Ho Wing Kin for life

4 Feb 2013

The Securities and Futures Commission (SFC) has banned Mr Ho Wing Kin from re-entering the industry for life (Note 1).

The disciplinary action follows Ho's conviction for misappropriating around \$1.3 million from three customers' accounts by forging their signatures (Note 2).

In deciding the penalty, the SFC took into account that misappropriation and forgery are serious and dishonest acts. The SFC concluded that Ho is not a fit and proper person to be licensed.

The victims in this case were elderly customers who have subsequently been compensated.

The case was referred to the SFC by the Hong Kong Monetary Authority (HKMA).

End

Notes:

1. Ho was a relevant individual engaged by Wing Hang Bank, Limited at the material time to carry on Type 1 (dealing in securities) and Type 9 (asset management) regulated activities under the Securities and Futures Ordinance. Ho is currently not registered with the HKMA or licensed by the SFC.
2. Ho was convicted of five charges of theft. On 10 August 2011, he was sentenced to imprisonment of 26 months. Please see the Reasons for Sentence dated 10 August 2011 which is available on the judiciary website at <http://www.judiciary.gov.hk>.

Page last updated : 4 Feb 2013

## 證監會終身禁止何永堅重投業界

2013年2月4日

證券及期貨事務監察委員會（證監會）終身禁止何永堅（男）重投業界（註1）。

何先前因假冒客戶簽名，從三名客戶的帳戶中挪用約130萬元而被法院裁定罪成，證監會因此對何採取上述紀律處分行動（註2）。

證監會釐定罰則時，已考慮到挪用款項及假冒簽名均屬嚴重不誠實行為，並認為何並非獲發牌的適當人選。

本案的受害人都是年長客戶，他們其後已獲賠償。

本個案由香港金融管理局（金管局）轉介證監會跟進。

完

備註：

1. 於有關時間，何是獲永亨銀行有限公司聘用以根據《證券及期貨條例》進行第1類（證券交易）及第9類（提供資產管理）受規管活動的有關人士。何目前沒有名列於金管局的紀錄冊，亦沒有獲證監會發牌。
2. 何被裁定五項盜竊罪成，並於2011年8月10日被判監禁26個月。請參閱司法機構網站（<http://www.judiciary.gov.hk>）所載日期為2011年8月10日的《判刑理由書》。

最後更新日期：2013年2月5日