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## SFC bans To Ka Kit for three years

19 Feb 2014

The Securities and Futures Commission (SFC) has banned Mr To Ka Kit, a former employee of The Royal Bank of Scotland N.V., formerly known as ABN AMRO Bank N.V., from re-entering the industry for three years from 19 February 2014 to 18 February 2017 (Note 1).

On 3 December 2012, To was sentenced to perform community service of 120 hours at the Eastern Magistrates' Court following conviction on one count of copying a false instrument.

To was a relationship manager of the bank at the material time. One of his duties was to handle the subscription of investment products by clients. An investment subscription is not accepted by the bank without a valid risk assessment form. For joint accounts, risk assessment forms must be signed by all account holders.

The court found that To submitted to the bank a copy of a risk assessment form with forged signatures of a joint account holder in order to obtain approval for the subscription of an equity-linked note for the account. The other joint account holder signed the form and agreed to subscribe to the product.

The SFC considers that To is guilty of misconduct and his fitness and properness has been called into question.

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

End

Note:

1. At the material time, To was a relevant individual engaged by ABN AMRO Bank N.V. to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance. To is currently not registered with the Hong Kong Monetary Authority or licensed by the SFC.

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## 證監會禁止杜家傑重投業界三年

2014年2月19日

證券及期貨事務監察委員會（證監會）禁止The Royal Bank of Scotland N.V.（前身為ABN AMRO Bank N.V.）前僱員杜家傑（男）重投業界，為期三年，由2014年2月19日起至2017年2月18日止（註1）。

2012年12月3日，東區裁判法院裁定杜一項製造虛假文書的副本罪名成立，判處120小時社會服務令。

杜在關鍵時間為該銀行的客戶關係經理，其職責之一是處理客戶的投資產品認購。若未能提供有效的風險評估表格，該銀行不會接受投資認購。就聯名帳戶而言，風險評估表格必須由所有帳戶持有人簽署。

法院裁定，杜向該銀行呈交了一份印有一名聯名帳戶持有人的偽冒簽名的風險評估表格副本，藉以為該帳戶認購股票掛鈎票據取得批准。另一聯名帳戶持有人已簽署該份表格並同意認購該產品。

證監會認為杜犯有失當行為，令人質疑其是否獲發牌的適當人選。

本個案由香港金融管理局轉介證監會跟進。

完

備註：

1. 在關鍵時間，杜是受聘於ABN AMRO Bank N.V.進行《證券及期貨條例》下第1類（證券交易）及第4類（就證券提供意見）受規管活動的有關人士。杜現時沒有名列於香港金融管理局的紀錄冊，亦並非證監會持牌人。

最後更新日期：2014年2月19日