

SFC Revokes the Registrations of Chia Neil

10 Jul 1997

The Securities and Futures Commission (SFC) announced that it had revoked the registration of Mr Chia Neil (Chia) as a securities dealer's representative on the ground that he was guilty of misconduct in that his acts were prejudicial to the interests of the investing public.

The action resulted from an inquiry initiated by the SFC under section 56 of the Securities Ordinance into the misconduct of Chia. The inquiry revealed that Chia had effected trades in a client's account without the client's prior knowledge or authorisation, which resulted in substantial loss to that client.

Chia was employed as dealer's representative of Yamaichi International (H.K.) Limited. He was dismissed by Yamaichi on 13 September 1996 upon discovery of his misconduct. Yamaichi had subsequently made full compensation to the client in respect of the loss arisen from the said unauthorised trades.

Page last updated : 1 Aug 2012

證監會撤銷賈念的註冊

1997年7月10日

證券及期貨事務監察委員會(證監會)公布,該會已撤銷賈念(賈氏)的證券交易商代表註冊,原因是賈氏行為失當,有損投資大眾利益。

證監會根據《證券條例》第56條對賈氏的失當行為展開調查,發現賈氏在客戶不知情及未獲授權的情況下,擅自使用客戶的戶口進行買賣,導致該名客戶蒙受重大損失。證監會因此撤銷其註冊。

賈氏當時受僱於山一國際(香港)有限公司(山一)。該公司在揭發賈氏的失當行為後,於1996年9月13日將其解僱。隨後,山一亦向有關客戶全數賠償因上述未經授權的買賣所導致的損失。

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