

Citation: 2024 BCSECCOM 97

Order

Wayne Lo

Securities Act, RSBC 1996, c. 418 (the Act)

Background

- ¶ 1 The Executive Director of the British Columbia Securities Commission has entered into a settlement agreement with Wayne Lo (Lo), a copy of which is attached as Schedule A.

Order

- ¶ 2 The Executive Director, considering it to be in the public interest to do so, orders (the Order) that:

1. Lo is prohibited for a period of three years:

- (a) under section 161(1)(b)(ii), from trading in or purchasing any securities or derivatives, except that Lo may trade in or purchase securities or derivatives through a registered dealer for his benefit in accounts in his own name, if he has first provided the registered dealer with a copy of the Order;
- (b) under section 161(1)(d)(iii), from becoming or acting as a registrant or promoter;
- (c) under section 161(1)(d)(iv), from advising or otherwise acting in a management or consultative capacity in connection with activities in the securities or derivatives markets;
- (d) under section 161(1)(d)(v), from engaging in promotional activities by or on behalf of
 - (i) an issuer, security holder or party to a derivative, or
 - (ii) another person that is reasonably expected to benefit from the promotional activity; and

- (e) under section 161(1)(d)(vi), from engaging in promotional activities on Lo's behalf in respect of circumstances that would reasonably be expected to benefit him.

Peter J Brady
4/23/2024 | 11:05 PM PDT

¶ 3 Peter J. Brady
Executive Director