

ENFORCEMENT SUMMARY

In the Matter of *The Securities Act*

And in the Matter of Kristine Amanda FILECCIA ("FILECCIA")

Charges:

On July 22, 2010, FILECCIA pled guilty to one offence under section 136(1)(a) of *The Securities Act* (the "Act") for providing false and misleading information in connection with an application for registration under the Act.

Summary:

FILECCIA was employed with a registrant and as part of her employment was to apply for registration under the Act. FILECCIA disclosed in her application for registration that since attaining the age of 18 she had not been convicted of, pleaded guilty to or no contest to an offence that was committed in any province, territory, state or country. Staff subsequently received information that a criminal record "may exist".

Commission Staff sought further information from FILECCIA clarifying her criminal disclosure in her registration application. FILECCIA subsequently provided false and misleading information to Commission Staff about her criminal record in support of her application. Eventually she resigned from her employment and the registration application was withdrawn.

Sentence:

FILECCIA was sentenced on July 22, 2010 before Associate Chief Judge Chartier and was fined \$2,000.00.