
Settlement of Charges Against Sean Matthews

1 message

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Tue, Nov 10, 2015 at 4:09 PM



DISCIPLINARY NOTICE

november 10, 2015

Matter: CASE number 2013-042

SETTLEMENT OF CHARGES AGAINST SEAN MATTHEWS

Exchange Rule:

Rule 4.02(c) - Trade Practice Violations

In connection with the placement of any order or execution of any Transaction, it shall be a violation of the Rules for any Person to... [e]xecute a wash sale, accommodation Trade, fictitious sale or prearranged Trade.

Summary:

A subcommittee of the Exchange's Business Conduct Committee determined that on February 12, 2013, Sean Matthews ("Matthews") may have violated IFUS Rule 4.02(c) by transacting a wash sale to correct an erroneous allocation and move a position belonging to his employer at the time from one proprietary account to another proprietary account.

Penalty:

In accordance with the terms of settlement, in which Matthews neither admitted nor denied the rule violation, Matthews paid a monetary penalty of \$5,000 and agreed to cease and desist from future violations of Rule 4.02(c).

Effective Date: October 15, 2015

FOR MORE INFORMATION

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