ORDER VACATING BROKER, DEALER, MUNICIPAL SECURITIES DEALER, AND TRANSFER AGENT BARS

Wing F. Chau seeks to vacate an order, dated January 6, 2017 (the “Order”), to the extent that it bars him from association with a broker, dealer, municipal securities dealer, or transfer agent, subject to a right to reapply after five years. The bars at issue were imposed based solely on conduct occurring prior to July 22, 2010, the effective date of the Dodd-Frank Wall Street Reform and Consumer Protection Act. Accordingly, in our discretion, we vacate the Order to the extent it prohibits Wing F. Chau from associating with a broker, dealer, municipal securities dealer, or transfer agent, subject to a right to reapply after five years, but otherwise leave the Order unmodified.

By the Commission.

Brent J. Fields
Secretary

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