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**BULLETIN # 2889**  
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## Discipline

### Discipline Penalties Imposed on Christine Sklar - Violation of By-law 29.1

Person Disciplined	The Alberta District Council of the Investment Dealers Association of Canada (the "Association") has imposed discipline penalties on Christine Sklar, at all material times a registered representative with Richardson Greenshields of Canada Limited, subsequently RBC Dominion Securities Ltd., a Member of the Association.
By-laws, Regulations, Policies Violated	On August 29, 2001 the Alberta District Council issued their Reasons for Decision regarding disciplinary proceedings initiated by Association staff against Ms. Sklar. The District Council found that Ms. Sklar engaged in conduct unbecoming of a registered representative, contrary to Association By-law 29.1.
Penalty Assessed	The discipline penalty assessed against Ms. Sklar is a fine in the amount of \$2,500.00, and a condition that she successfully rewrite the Conduct and Practices Handbook examination administered by the Canadian Securities Institute. Ms. Sklar is required to pay the Association's costs of investigation in the amount of \$1,000.00. The District Council also ordered that Ms. Sklar not be re-registered by the Association until such time as the fine and costs are paid in full.
Summary of Facts	In June 1998 a client opened a cash account at the Sherwood Park sub-branch office of the Edmonton, Oxford branch of Richardson Greenshields of Canada Limited. At all material times Ms. Sklar was the registered representative of record for the account. At the time of opening the cash account the client signed a Cash Account Agreement. On October 26, 1998, the Branch Manager of Edmonton, Oxford received a phone call from the client stating that the signature which appeared on the Cash Account Agreement and purported to be the clients, had in fact been forged. The Branch Manager subsequently questioned Ms. Sklar who admitted that she had got "frustrated" with trying to contact the client and had forged the clients signature on a new Cash Account Agreement after

the original document signed by the client had been lost or misplaced. The panel of the District Council determined that this constituted conduct unbecoming of a registered representative.

In determining an appropriate penalty the panel of the District Council considered several factors. Ms. Sklar did not profit in any manner from the forgery. The document had previously been signed by the client, but had been lost. The application of the signature was to a duplicate copy, done to avoid having to obtain a second signature, and the embarrassment of having to admit to the client that the first document was lost. Ms. Sklar admitted the offence to the branch manager, and did not contest the proceedings.

The panel of the District Council found an allegation of discretionary trading not sustained by the evidence. Ms. Sklar did not appear at the hearing. She left the employ of RBC Dominion Securities Inc. on October 27, 1998 and has not been registered in any capacity with the Association since that date. She has no previous history of regulatory violations.

Kenneth A. Nason  
*Association Secretary*