

ENFORCEMENT SUMMARY

In the Matter of *The Securities Act* and in the Matter of James Peter YAWORSKI (“YAWORSKI”)

Charges:

YAWORSKI plead guilty in the Provincial Court of Manitoba to twelve (12) counts under *The Securities Act* of Manitoba (“Act”) of trading without registration contrary to s.6(1) of the Act in shares of Shopplex.com Corporation (“Shopplex”), being offences pursuant to s.136(1)(c) of the Act.

Summary:

The trading involved representations to convince investors the investment was too good to miss, a failure to transfer shares promptly if at all, a lack of documentation, and uncertainty as to whose shares some investors were buying and, if YAWORSKI's, whether he owned them at the time they were traded. The period of unregistered trading occurred from May 30, 2004 to December 31, 2010. The total amount of consideration was \$656,875.00, with actual funds of \$544,875.00 received by YAWORSKI. Shopplex was an Alberta-based company and YAWORSKI was an Alberta resident. Charges were issued by The Manitoba Securities Commission (MSC) as securities had been traded to 10 Manitobans. Years prior to the events of the offences, YAWORSKI had been a registrant under the Act in Manitoba for over eight years. YAWORSKI had previously been sanctioned by the MSC and the Provincial Court of Manitoba and by the ASC in Alberta.

Sentence:

On December 17, 2015, the Honourable Judge Killeen sentenced YAWORSKI to one year in prison and two years' probation with conditions not to be involved in the securities industry. Costs and surcharges waived. The court commented on the lack of complaints by investors as speaking to their lack of experience or blind reliance upon YAWORSKI.

The Manitoba Securities Commission
January 3, 2018.