

1 CLOTHILDE V. HEWLETT  
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Deputy Commissioner  
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11 BEFORE THE DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION  
12 OF THE STATE OF CALIFORNIA

13  
14 In the Matter of:

15 THE COMMISSIONER OF FINANCIAL  
16 PROTECTION AND INNOVATION ,

17 Complainant,

18 v.

19 ALFRED KAI KWONG CHAN,

20 Respondent.

CRD NO.: 4473594

NOTICE OF ERRATA REGARDING  
ACCUSATION IN SUPPORT OF ORDER TO  
BAR ALFRED KAI KWONG CHAN FROM  
ANY POSITION OF EMPLOYMENT,  
MANAGEMENT OR CONTROL OF ANY  
INVESTMENT ADVISER, BROKER-DEALER  
OR COMMODITY ADVISER

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24 PLEASE TAKE NOTICE that the Accusation in support of order to bar Alfred Kai Kwong  
25 Chan (Respondent) from any position of employment, management or control of any investment  
26 adviser, broker-dealer or commodity adviser (Cal. Corp. Code § 25232.1) issued on August 27,  
27 2024, by the Complainant, the Commissioner of Financial Protection and Innovation  
28 (Commissioner), contained a typographical error.

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The Accusation stated on page 2, line 1, Paragraph 2 that “action to bar Alfred Kai Kwang Chan (Chan).” The Accusation should have stated “action to bar Alfred Kai Kwong Chan (Chan)”

The Accusation stated on page 7, line 4, that “action to bar Alfred Kai Kwang Chan (Chan).” The Accusation should have stated “action to bar Alfred Kai Kwong Chan (Chan)”

The Accusation stated on page 7, line 6, that “Commissioner hereby notifies Alfred Kai Kwang Chan.” The Accusation should have stated “Commissioner hereby notifies Alfred Kai Kwong Chan”

Complainant hereby remedies this typographical error by this Notice of Errata.

DATED: November 26, 2024  
San Diego, California

CLOTHILDE V. HEWLETT  
Commissioner of Financial Protection and Innovation

By: \_\_\_\_\_  
AFSANEH EGHBALDARI  
Senior Counsel  
Enforcement Division