



Securities  
Commission

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**Oct 7, 2015**

### **Settlement Agreement Approved for TD Waterhouse**

**Halifax** - The Nova Scotia Securities Commission has approved a settlement agreement with TD Waterhouse Canada Inc.

The respondents violated Nova Scotia securities laws by failing to provide requested account statements and trade confirmations to its client.

"It's important for investors to receive these documents as it enables them to be aware of activity in their accounts and to help them make informed investment decisions," said Heidi Schedler, senior enforcement counsel for the Nova Scotia Securities Commission.

TD Waterhouse accepted responsibility for its conduct, was co-operative with commission staff.

The commission approved the settlement agreement and ordered TD Waterhouse to:

- comply with Nova Scotia securities laws
- pay an administrative penalty of \$10,000
- pay costs in connection with the commission proceedings of \$1,000

The Nova Scotia Securities Commission is the provincial government agency responsible for regulating trading in securities in the province. To view the order please visit <http://nssc.novascotia.ca>

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