

# Nova Scotia Securities Commission

## Code of Conduct

As a regulator of the capital markets in Nova Scotia, the Nova Scotia Securities Commission's (the Commission) mandate is to protect investors from practices that undermine confidence in the fairness and efficiency of the capital markets, and to foster capital formation. The Commission's activities involve corporate finance, registration, compliance, intake of inquiries and complaints, investigations, and enforcement. In performing its activities, the Commission and staff of the Commission (Commission staff) will engage with others in a variety of circumstances but some circumstances will by nature involve differing perspectives and positions which are sometimes oppositional or adversarial by nature. The Commission is committed to having Commission staff carry out their duties in a professional and respectful manner. Likewise, the Commission expects that those persons it deals with will conduct themselves in a respectful manner so as to provide a safe, secure, healthy, and respectful environment for Commission staff, the Commission's stakeholders, visitors, and the public that reflects our *Values*.

### Respectful Conduct

The following is a code of conduct that sets out the expectations and requirements for respectful conduct, whether in person, by telephone or by electronic means. All Commission staff, and all those persons dealing with Commission staff, including registrants, issuers, investors, respondents, counsel, complainants, potential witnesses, service providers and other stakeholders, visitors, and members of the public, are expected to interact as follows:

- Treat each other with dignity and respect.
- Ensure confidentiality when required.
- Expect honesty and integrity.
- Respect diversity, which includes both visible and invisible characteristics, and includes differences such as, but not limited to, race, colour, creed, national origin, religion, gender,

gender identity, sexual orientation, marital status, age, political ideology, language, physical characteristics, and socio-economic status.

- Interact, whether in person, by telephone or by electronic communications, directly or indirectly (such as through social media), calmly and without any of the following prohibited conduct: physical or verbal abuse, profanity, harassment, intimidation tactics or making threats, making malicious or harmful statements, including by way of discrimination or public disclosure of another's private information.
- Object to any inappropriate or unprofessional behavior or conduct.

The Commission will not tolerate conduct that violates these expectations and requirements. If any person, despite a warning, continues to engage in a manner that is not consistent with this code of conduct, then Commission staff may, at their option, stop further interaction with such person or seek recourse against such person for such conduct and to prevent such future conduct.

***Our Values:***

*Respect • Integrity • Diversity •  
Accountability • Public Good*