

IN THE MATTER OF  
THE *SECURITIES ACT*, R.S.N.S. 1989, C. 418, AS AMENDED (the Act)

- and -

IN THE MATTER OF SHIRLEY A. LOCKE (the Applicant)

- and -

IN THE MATTER OF A HEARING AND REVIEW OF A DECISION OF A PANEL OF THE  
INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA

**AMENDED NOTICE OF HEARING**  
(Subsections 30(5) and (5A) of the Act)

**WHEREAS** by Notice of Hearing dated August 17, 2020, the Nova Scotia Securities Commission (the Commission) gave notice that it would hold a hearing in this matter pursuant to subsections 30(5) and (5A) of the Act at the offices of the Commission located at Suite 400, 5251 Duke Street, Duke Tower, Halifax, Nova Scotia, or such other place as the Commission may designate on notice to the parties, on a date and at a time to be designated by the Commission;

**TAKE NOTICE** by this Amended Notice of Hearing that the Commission will hold a hearing pursuant to subsections 30(5) and (5A) of the Act by videoconference, or by such other mode or at such other place as the Commission may designate on notice to the parties, on Thursday, January 14, 2021 and Friday, January 15, 2021, commencing at 9:30 a.m. (Atlantic time) each day, or so soon thereafter as the hearing can be held;

**AND TAKE NOTICE** that the purpose of the hearing will be for the Commission to consider the Applicant's request pursuant to subsections 30(5) and (5A) of the Act for a hearing and review by the Commission of decisions of the Investment Industry Regulatory Organization Of Canada (the Respondent) dated May 28, 2020 (the Merits Decision) and dated August 8, 2020 (the Sanctions Decision);

**AND TAKE NOTICE** that in accordance with section 3.2 of Rule 15-501 *General Rules of Practice and Procedure*, the Applicant will obtain from the Respondent a record of the proceeding relating to the Merits Decision and the Sanctions Decision, and file it with the Secretary of the Commission;

**AND TAKE NOTICE** that any party to the proceeding may be represented by legal counsel or an authorized agent;

**AND TAKE NOTICE** that the Respondent shall provide written notice to the Commission at least seven days prior to the hearing of its intention to attend or participate in the hearing, or as otherwise ordered by the Commission, and if no such notice is provided within this time or upon the failure of any party to attend or participate in the hearing, the hearing may proceed in the absence of that party and an order granted and such party is not entitled to any further notice of

the proceeding without leave of the Commission.

**DATED** at Halifax, Nova Scotia, this 5<sup>th</sup> day of November, 2020.

**NOVA SCOTIA SECURITIES COMMISSION**

(signed) "H. Jane Anderson"  
H. Jane Anderson, Secretary