



Securities Commission

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Commission Issues Cease Trade Order against former mutual fund salesperson

Halifax - The Nova Scotia Securities Commission has issued a temporary cease trade order against Vincent Byrne.

Mr. Byrne is a former mutual fund salesperson, having worked in the industry for many years. In 2013, he left the industry and terminated his registration with the Commission. Mr. Byrne violated Nova Scotia securities laws by providing investment advice to and conducting securities trades on behalf of clients, even though he was no longer registered with the Commission.

The Commission has ordered Mr. Byrne to cease contravening Nova Scotia securities laws, and to cease trading, except on his own behalf, for a period of 15 days or until otherwise ordered by the Commission.

The Commission urges Nova Scotians to exercise extreme caution when dealing with firms or individuals that are not registered in Nova Scotia. It is illegal to solicit investments in the province without registering with the Commission and complying with Nova Scotia securities laws. To see if a company or person is registered you can check at www.aretheyregistered.ca.

To view the order <http://nssc.novascotia.ca>

The Nova Scotia Securities Commission is the provincial government agency responsible for regulating the investment industry in the province.

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