

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

NOTICE OF HEARING

(Subsections 30(5) and (5A) of the Act)

TAKE NOTICE that the Nova Scotia Securities Commission (the Commission) will hold a hearing 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 time to be arranged by the Secretary of the Commission on notice to the parties or as ordered by the Commission;

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 17th day of August, 2020.

NOVA SCOTIA SECURITIES COMMISSION



H. Jane Anderson, Secretary