

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 MOTION

(Part 11 of Rule 15-501 General Rules of Practice and Procedure)

WHEREAS by letter dated June 26, 2020, counsel for the Applicant requested that, pursuant to section 30(5) of the Act, the Commission convene a hearing and review (the NSSC Review) of a decision of a panel of the Investment Industry Regulatory Organization of Canada (IIROC), issued May 28, 2020 (the Merits Decision) and relating to the Applicant;

AND WHEREAS on July 20, 2020, the panel of IIROC rendered a further oral decision, followed by a written decision dated August 8, 2020 by the IIROC National Hearing Coordinator (the Sanctions Decision);

AND WHEREAS on August 12, 2020, counsel for the Applicant requested by letter that the NSSC Review encompass the Sanctions Decision;

TAKE NOTICE that a motion brought by the Applicant will be heard by the Commission by videoconference on Wednesday, August 26, 2020, commencing at 12:00 noon (Atlantic time), and, if needed, on Friday, August 28, 2020, commencing at 9:30 am (Atlantic time), or so soon thereafter as the hearing of the motion can take place;

AND TAKE NOTICE that, on the motion, the Applicant is asking the Commission to make the following orders:

1. a stay of the Sanctions Decision pending conclusion of the NSSC Review; and
2. such further or other orders as the Commission considers appropriate.

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

AND TAKE NOTICE that the Commission may make any order it deems just in the circumstances on any issue brought before the Commission;

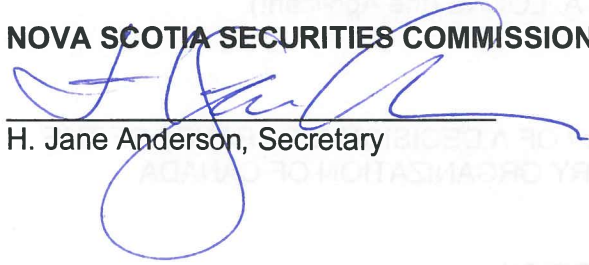
AND TAKE NOTICE that the evidence of the Applicant will consist of an Affidavit of Shirley A. Locke, sworn August 11, 2020;

AND TAKE NOTICE that IIROC shall provide written notice to the Commission of its intention to participate in the motion; and if no such notice is provided, or upon failure of any party to attend

the hearing of the motion, the hearing may proceed in the absence of that party, and an order may be granted, and such party is not entitled to any further notice of the motion without leave of the Commission.

DATED at Halifax, Nova Scotia, this 17th day of August, 2020.

NOVA SCOTIA SECURITIES COMMISSION



H. Jane Anderson, Secretary

NOTICE OF MOTION

WHEREAS the Applicant requested that pursuant to section 257 of the Act, the Commission convene a hearing and review (the NSSC Review) of a decision of a panel of the Investment Industry Regulatory Organization of Canada (IIROC) dated May 28, 2020 the merits of the motion being taken to the Applicant;

AND WHEREAS on July 20, 2020, the panel of IIROC rendered a further final decision followed by a written decision dated August 6, 2020 by the IIROC National Hearing Coordinator (the National Decision);

AND WHEREAS on August 12, 2020, counsel for the Applicant requested that the NSSC Review encompass the National Decision;

TAKE NOTICE that a motion brought by the Applicant will be heard by the Commission by videoconference on Wednesday, August 26, 2020, commencing at 12:00 noon (Atlantic time) and it is noted, on Friday, August 28, 2020, commencing at 9:30 am (Atlantic time), or as soon thereafter as the timing of the motion can be ascertained;

AND TAKE NOTICE that, on the motion, the Applicant is asking the Commission to make the following orders:

1. a stay of the National Decision pending conclusion of the NSSC Review and

2. such further or other orders as the Commission considers appropriate.

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

AND TAKE NOTICE that the Commission may make any order it deems just in the circumstances on any issue brought before the Commission;

AND TAKE NOTICE that the evidence of the Applicant will consist of an Affidavit of Shirley A. Locke sworn August 11, 2020;

AND TAKE NOTICE that IIROC shall provide written notice to the Commission of its intention to participate in the motion, and if no such notice is provided, or upon failure of any party to attend