



## Securities Commission

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### **Settlement Agreement Approved for Mutual Fund Salesperson**

**Halifax** - The Nova Scotia Securities Commission has approved a settlement agreement with a mutual fund salesperson.

John George Frederick Campbell admitted he violated Nova Scotia securities laws by falsifying a client's document and by keeping a blank signed letter of authorization on file. His actions undermined investor confidence in the fairness and efficiency of capital markets. At the time, Mr. Campbell was a mutual fund salesperson with BMO Nesbitt Burns Inc.

Mr. Campbell accepted responsibility for his conduct and was cooperative with commission staff. He also took voluntary actions in order to be accountable for his wrong doings. The commission approved the settlement agreement and ordered Mr. Campbell to:

- comply with Nova Scotia securities laws
- pay an administrative penalty of \$7,500
- pay costs in connection with the commission proceedings of \$5,000.

The Nova Scotia Securities Commission is the provincial government agency responsible for regulating trading in securities in the province. To view the order visit [www.gov.ns.ca/nssc/compliancforce/enforproceedings.asp](http://www.gov.ns.ca/nssc/compliancforce/enforproceedings.asp).

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