



**IN THE MATTER OF THE *SECURITIES ACT***

**S.N.W.T. 2008, c. 10 as amended**

**AND**

**IN THE MATTER OF  
INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)**

**AUTHORIZATION ORDER  
Section 76**

**WHEREAS** IIROC is a recognized entity under Part 7 of the Securities Act (the Act);

**AND WHEREAS** pursuant to section 80(b) of the Act, the Superintendent may make any decision with respect to the procedures, practices, operations and interpretations of a recognized entity, if the Superintendent considers it in the public interest;

**AND WHEREAS** IIROC is empowered under its internal rules, which have been approved by the Superintendent, to conduct hearings;

**AND WHEREAS** IIROC has requested that pursuant to Section 76(a) of the Act the Superintendent by order authorize IIROC to exercise authority pursuant to Section 77 of the Act;

**AND WHEREAS** IIROC has requested that pursuant to Section 76(c) of the Act the Superintendent by order authorize IIROC to file a decision with the Supreme Court of the Northwest Territories (Supreme Court) where the requirements of Section 83(1) of the Act have been complied with;

**AND WHEREAS** IIROC has requested that pursuant to Section 76(d) of the Act the Superintendent by order authorize IIROC to file a settlement agreement with the Supreme Court under Section 83(2) of the Act;

**AND UPON REVIEWING** IIROC's letter dated September 28, 2018;

**AND WHEREAS** the Superintendent is of the opinion that it is in the public interest to make this Order;

**IT IS ORDERED THAT:**

1. Pursuant to Section 76(a) of the Act, IIROC is authorized to exercise authority pursuant to Section 77 of the Securities Act;
2. Pursuant to Section 76(c) of the Act, IIROC is authorized to file a decision with the Supreme Court where the requirements of Section 83(1) of the Securities Act have been complied with; and
3. Pursuant to Section 76(d) of the Act, IIROC is authorized to file a settlement agreement with the Supreme Court under Section 83(2) of the Act.

This Order takes effect on November 1, 2018.

Dated at the City of Yellowknife in the Northwest Territories this 22<sup>nd</sup> day of October, 2018.

*Tom Hall*

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Thomas W. Hall

Superintendent of Securities