

IIROC NOTICE

Enforcement Notice Decision

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Legal and Compliance

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IN THE MATTER OF John D.W. Buskell – Discipline

SUMMARY

Following a disciplinary hearing held on June 3, 2008, in Calgary, Alberta, a Hearing Panel of the Investment Dealers Association of Canada (“IDA”) found that John D.W. Buskell (the “Respondent”):

1. On or about February 12, 2007 to the present date, the Respondent failed to attend and give information in respect of an investigation conducted by the IDA’s Enforcement Department and/or failed to otherwise cooperate with the investigation contrary to IDA Bylaw 19.5.

The Hearing Panel imposed the following penalty against the Respondent:

1. a fine of \$ 50,000.00;



2. a permanent ban on registration in any capacity of the Respondent; and required the Respondent to pay costs in the amount of \$ 31,836.13.

The IDA formally initiated the investigation into the Respondent's conduct on July 31, 2007. The respondent was a Registered Representative with the Calgary Branch of Wolverton Securities Ltd. until he was terminated on February 7, 2007. The Respondent is no longer a registrant with an IIROC regulated firm.

The Hearing Panel issued its Decision on June 25, 2008. The Hearing Panel's Decision is available at <http://docs.iroc.ca/DisplayDocument.aspx?DocumentID=0637058E83D848C4B6F8CC2E78812240&Language=en>.