

SUMMONS

Section 69(1) of the Alberta Securities Act, RSA 2000, c S-4

IN THE MATTER OF

THE RULES OF THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA

AND

SUMMONS TO A WITNESS BEFORE IIROC HEARING PANEL

TO:

YOU ARE REQUIRED TO ATTEND TO GIVE EVIDENCE at the hearing of this proceeding on

DATE:

TIME:

LOCATION OF HEARING:

and to remain until your attendance is no longer required.

YOU ARE REQUIRED TO BRING WITH YOU and produce at the hearing the following documents and things:

[Set out the nature and date of each document and give sufficient particulars to identify each document and thing.]

Date:

Investment Industry Regulatory Organization of
Canada

Chair, IIROC Hearing Panel

NOTE:

You are entitled to be paid the same personal allowances for your attendance at the examination as are paid for the attendance of a witness summoned to attend before the Court of Queen's Bench.

You are entitled to be represented by counsel when you attend for your examination.

If you fail to attend and give evidence at the examination, or to produce the documents or things specified at the time and place specified, without lawful excuse, you are liable to punishment by the Court of Queen's Bench in the same manner as for contempt of that court for disobedience to a subpoena.

If you have questions, you should contact the party that requested that IIROC issue this Summons:

[Name, address, email and telephone number of party requesting that IIROC issue the Summons].