

IIROC NOTICE

Enforcement Notice Decision

Please distribute internally to:
Legal and Compliance

Contact:

Warren Funt
Vice President, Western Canada
604 331-4750
wfunt@iroc.ca

Elsa Renzella
Director, Enforcement Litigation
416 943-5877
erenzella@iroc.ca

10-0307
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IN THE MATTER OF Bradley Ferris Trites – Penalty

Following a disciplinary hearing held on September 30, 2010 in Vancouver, British Columbia, a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) found that Bradley Ferris Trites refused and/or failed to attend at an interview and give information as part of an IIROC investigation into his conduct. The Hearing Panel's Decision and Reasons dated October 27, 2010 are available at

<http://docs.iroc.ca/DisplayDocument.aspx?DocumentID=3B04C42F7B5B420398070ED3DF5B342A&Language=en>

Specifically, the Hearing Panel found that Mr. Trites breached IIROC Rule 19.5 in that on Tuesday, February 2, 2010, Mr. Trites refused and / or failed to meet and give information regarding an IIROC investigation into his conduct while an Approved Person.

The Hearing Panel imposed the following penalties against Mr. Trites:

- (a) a permanent ban from approval in any capacity; and
- (b) a fine of \$25,000.

The Hearing Panel required that Mr. Trites pay costs in the amount of \$4,500.



IIROC formally initiated the investigation into Mr. Trites' conduct on October 31, 2008. The Rule 19.5 violation occurred while Mr. Trites was no longer registered as a Registered Representative with an IIROC regulated firm.

The Notice of Hearing is available at

<http://docs.iiroc.ca/DisplayDocument.aspx?DocumentID=5499E798527F489F92169ABC97E787C3&Language=en>