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**BULLETIN # 2908**  
January 15, 2002

## Discipline

### Discipline Penalties Imposed on Douglas Bruce Robb – Violation of By-law 19.5

Person Disciplined	The Pacific District Council of the Investment Dealers Association of Canada (the "Association") has imposed discipline penalties on Douglas Bruce Robb, at all material times a registered representative with ScotiaMcLeod Inc. (now Scotia Capital Inc.), Nesbitt Burns Inc. (now BMO Nesbitt Burns Inc.), and Midland Walwyn Capital Inc. (now Merrill Lynch Canada Inc.), Members of the Association.
By-laws, Regulations, Policies Violated	Following a hearing on November 5, 2001, the Pacific District Council found Mr. Robb to have violated Association By-law 19.5 by failing to attend and give information in respect of investigations being conducted by the Association's Enforcement Department.
Penalty Assessed	The discipline penalties assessed against Mr. Robb are a fine in the amount of \$50,000.00 and a permanent prohibition against re-approval of Mr. Robb by the Association in any registered capacity. In addition, Mr. Robb is required to pay \$9,329.22 towards the Association's costs of investigation of this matter.
Summary of Facts	<p>The Association had commenced investigations into six client complaints received between February 19, 1996 and September 27, 1998. Mr. Robb was notified of each investigation. On or about January 25, 1999, April 19, 1999, July 12, 1999, and August 17, 1999 the Association requested that Mr. Robb attend and give information in relation to the matters under investigation. Mr. Robb failed to attend as required on each occasion.</p> <p>The District Council hearing panel determined that Mr. Robb's conduct constituted a serious violation of the By-law. Reasons for its decision will follow.</p> <p>Mr. Robb ceased to be registered in any capacity with the Association on or about April 18, 1998.</p>

Kenneth A. Nason  
*Association Secretary*