



INVESTMENT DEALERS  
ASSOCIATION OF CANADA

# bulletin



ASSOCIATION CANADIENNE DES  
COURTIERS EN VALEURS MOBILIÈRES

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*For distribution to relevant parties within your firm*

**BULLETIN #3335**

September 27, 2004

## Discipline

### Order of Alberta District Council re: Naeema Crittall – Violation of By-law 19.5

Person Subject of Order The Alberta District Council of the Investment Dealers Association of Canada (the “Association”) has imposed discipline penalties on Naeema Crittall (the “Respondent”), at all material times a Registered Representative with the Drumheller, Alberta branch office of BMO Nesbitt Burns, at all material times a Member of the Association.

By-laws, Regulations, Policies Violated, And Order Made Following a discipline hearing on June 15, 2004, the Alberta District Council found that the Respondent was in breach of Association By-law 19.5 as alleged in the Notice of Hearing dated May 9, 2004, and ordered the Respondent to demonstrate within 90 days of the date of the within hearing her intent to cooperate with the Association investigation in this matter, including attending for an interview with Association Staff and producing documents as may be requested by Association Staff. The Alberta District Council also imposed sanctions upon the Respondent, as follows:

- Penalty Assessed
1. Imposition of a fine in the amount of \$50,000.00;
  2. A temporary ban on registration of 90 days to provide an opportunity for her to come forward and provide the information and co-operation in the investigation as required, failing which, after 90 days the temporary ban will become permanent with respect to her registration; and
  3. Costs in the amount of \$15,800.00, payable in any event.

The Alberta District Council further allowed the Respondent to seek leave to have the amount of the fine reviewed, should the Respondent demonstrate satisfactory cooperation with the Association investigation within the 90 day period as directed.

Comment See the written decision of the hearing panel also published on the IDA website.

Kenneth A. Nason  
Association Secretary

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