

Re Regent Capital Partners

IN TH MATTER OF:

The Rules of the Investment Industry Regulatory Organization of Canada

and

Regent Capital Partners Inc.

ORDER

THIS MOTION, made by Staff of the Investment Industry Regulatory Organization of Canada (“IIROC”) for an Order expelling Regent Capital Partners Inc. from IIROC and terminating its rights and privileges of membership, was heard on June 3, 2022, at Toronto, Ontario, pursuant to sections 8212, 8409, 8426 and 8413 of the IIROC Rules.

ON READING the materials filed in support of this motion,

AND UPON RECEIVING CONFIRMATION from IIROC Staff that all REGENT CAPITAL PARTNERS INC. client accounts have been transferred to a carrying broker which has contacted all clients in order to arrange the transfer of their accounts to a broker of their choice,

THIS HEARING PANEL ORDERS that:

1. Pursuant to Section 8212 (4)(v) of the IIROC Rules, Regent Capital Partners Inc. shall be and hereby is expelled from IIROC effective immediately.
2. Pursuant to Section 8212 (4) (v) of the IIROC Rules, Regent Capital Partners Inc.’s rights and privileges of IIROC membership shall be and hereby are terminated effective immediately.

DATED at Toronto, Ontario, this 3rd day of June 2022.

Louise Barrington

David Lang

Jane Waechter

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