

APPENDIX I

SUMMONS

Sections 76 and 77 of the PEI Securities Act, R.S.P.E.I. 1988 Cap. S-3.1

IN THE MATTER OF

SUMMONS TO A WITNESS

BEFORE THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

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.]

IF YOU FAIL TO ATTEND OR TO REMAIN IN ATTENDANCE AS THIS SUMMONS REQUIRES, THE SUPERIOR COURT OF JUSTICE MAY ORDER THAT A WARRANT FOR YOUR ARREST BE ISSUED, OR THAT YOU BE PUNISHED IN THE SAME WAY AS FOR CONTEMPT OF THAT COURT.

Date:

Investment Industry Regulatory Organization of
Canada

ON BEHALF OF IIROC

NOTE:

You are entitled to be paid the same fees or allowances for attending at or otherwise participating in the hearing as are paid to a person summoned to attend before the Superior Court of Justice. 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].