



**IN THE MATTER OF THE *SECURITIES ACT*
(SY 2007, c. 16 as amended)**

-and-

**IN THE MATTER OF
INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)**

**SUPERINTENDENT ORDER 2018/04 Y.S.A.
AUTHORIZATION ORDER
(under Section 76 of the *Securities Act*)**

WHEREAS IIROC is a recognized entity under Part 7 of the *Securities Act* (the *Act*);

AND WHEREAS pursuant to section 80(b) of the *Act*, the Superintendent may make any decision with respect to the procedures, practices, operations and interpretations of a recognized entity, if the Superintendent considers it in the public interest;

AND WHEREAS IIROC is empowered under its internal rules, which have been approved by the Superintendent, to conduct hearings;

AND WHEREAS IIROC has requested that pursuant to Section 76(a) of the *Act* the Superintendent by order authorize IIROC to exercise authority pursuant to Section 77 of the *Act*;

AND WHEREAS IIROC has requested that pursuant to Section 76(c) of the *Act* the Superintendent by order authorize IIROC to file a decision with the Supreme Court of the Yukon (the Supreme Court) where the requirements of Section 83(1) of the *Act* have been complied with;

AND WHEREAS IIROC has requested that pursuant to Section 76(d) of the *Act* the Superintendent by order authorize IIROC to file a settlement agreement with the Supreme Court under Section 83(2) of the *Act*;

AND UPON REVIEWING IIROC's letter dated September 28, 2018;

AND WHEREAS the Superintendent is of the opinion that it is in the public interest to make this Order;

IT IS ORDERED THAT:

1. Pursuant to Section 76(a) of the *Act*, IIROC is authorized to exercise authority pursuant to Section 77 of the *Act*;
2. Pursuant to Section 76(c) of the *Act*, IIROC is authorized to file a decision with the Supreme Court where the requirements of Section 83(1) of the *Act* have been complied with; and

3. Pursuant to Section 76(d) of the *Act*, IIROC is authorized to file a settlement agreement with the Supreme Court under Section 83(2) of the *Act*.

This Order takes effect on November 1, 2018.

Dated at the city of Whitehorse this 22nd day of October, 2018.

Fred Pretorius (original signature on file)
Frederik Pretorius
Superintendent of Securities