

IN THE MATTER OF THE SECURITIES ACT,  
SNB 2004, c. S-5.5

AND

IN THE MATTER OF

**ASSANTE FINANCIAL MANAGEMENT LTD.**  
(Respondent)

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**ORDER**

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**WHEREAS** Staff of the Commission and the Respondent Assante Financial Management Ltd. entered into a Settlement Agreement dated 15 April 2009 (Agreement) in which they agreed to a proposed settlement of certain violations of New Brunswick securities law, subject to the approval of the Commission;

**AND UPON REVIEWING** the said Agreement and the Agreed Statement of Facts therein;

**AND WHEREAS** the Commission is of the opinion that it is in the public interest to make this Order.

**NOW THEREFORE IT IS HEREBY ORDERED THAT:**

1. Pursuant to section 184(1)(g) of the *Securities Act*, the Respondent shall be reprimanded;
2. Pursuant to section 186(1) of the *Securities Act*, the Respondent shall pay an administrative penalty in the amount of seven thousand five hundred dollars (\$7,500.00);
3. Pursuant to section 185 of the *Securities Act*, the Respondent shall pay costs of the investigation and hearing in the amount of one thousand dollars (\$1,000.00).

**DATED** at the City of Saint John this 20th day of May, 2009.

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"original signed by"  
Donne W. Smith, Panel Chair

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"original signed by"  
James Lockyer, Panel Member

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