



**NOTICE 15-701 FROM THE OFFICE OF THE SECRETARY
*SERVICE***

4 January 2013

Originally issued on 6 June 2011 and updated on 4 January 2013 to reflect amendments to Local Rule 15-501 *Proceedings before a Panel of the Commission*.

Notice to parties in proceedings governed by the New Brunswick Securities Commission's Local Rule 15-501 *Proceedings before a Panel of the Commission* (LR 15-501).

This notice relates to the service of notices and other documents required to be served upon parties under LR 15-501. Part 5 of LR 15-501 provides that any notice or document required to be served upon parties under LR 15-501 is considered sufficiently served if it is served by one of the following methods:

- (a) personal delivery to the Party;
- (b) delivery to the Party's counsel;
- (c) delivery to an adult person at the premises where the Party resides, is employed or carries on business, or where the Party's counsel carries on business;
- (d) if the Party is a corporation, leaving a copy with an officer, director or agent of the corporation;
- (e) sending to the Party by prepaid mail or courier at the last known address of the Party or the Party's counsel;
- (f) sending by Electronic Transmission to the Party or the Party's counsel; or
- (g) such other manner as the Panel may direct or accept.

To ensure proper notice is given to all parties and in order to avoid unnecessary delays, Hearing Panels of the Commission are directing that all notices and documents be served – if possible – first by personal service as outlined in paragraphs (a) through (d) of Part 5 of LR 15-501. If personal service is impossible or impractical, for example if a party resides outside of the country, service through prepaid mail or courier or by electronic transmission (as defined in LR 15-501) will be an accepted first method of service.

Hearing Panels of the Commission also direct that parties make all reasonable attempts to consent in advance, in writing, to an accepted method of service.

Proof of Service, as set out in subsection 5(3) of LR 15-501, is still required to evidence proper service and must establish why "personal delivery" was impossible or impractical.

This notice is effective immediately.

"original signed by"
Manon Losier
Secretary to the Commission