

ORIGINATING NOTICE

IN THE MATTER OF:

Regulatory Division of
ICE Futures Canada, Inc.
and
“name(s) of Respondent(s)”

To:
(put names and addresses
of all persons document will
be served upon)

TAKE NOTICE THAT;

- A) The Regulatory Division of ICE Futures Canada, Inc. issues this Originating Notice against you, in accordance with the Rules of the Exchange and alleges that...(put in short statement of alleged violation(s)).
- B) A hearing has been scheduled for (put date, time & place).
- C) The facts upon which the Regulatory Division relies to raise these allegations, includes; (detail of all facts)
- D) The following sanction will be sought;

AND TAKE NOTICE THAT you may choose to resolve this matter using the settlement process set out in Rule 10.

AND TAKE NOTICE THAT the Regulatory Division brings this matter forward under the disciplinary jurisdiction set out in the Rules.

YOU ARE REQUIRED TO FILE A REPLY WITHIN 20 DAYS OF THE DATE OF SERVICE OF THIS ORIGINATING NOTICE. THE REPLY MUST BE IN ACCORDANCE WITH ANNEX #10B. FAILURE TO FILE A REPLY MAY PRECLUDE YOU FROM CALLING ANY EVIDENCE AT THE HEARING AND/OR SUBMITTING A SETTLEMENT PROPOSAL.

Issued this _____ day of _____, 20 ____.

Regulatory Division of
ICE Futures Canada, Inc.

Per: _____
Vice President, Market Regulation