



Ontario
Securities
Commission

Commission des
valeurs mobilières
de l'Ontario

22nd Floor
20 Queen Street West
Toronto ON M5H 3S8

22e étage
20, rue queen ouest
Toronto ON M5H 3S8

**IN THE MATTER OF
EXECUTION ACCESS, LLC**

D. Grant Vingoe, Vice-Chair and Chair of the Panel
Deborah Leckman, Commissioner

October 20, 2017

ORDER

Sections 127 and 127.1 of the
Securities Act, RSO 1990, c S.5

THIS APPLICATION, made jointly by Execution Access, LLC (the **Respondent**) and Staff of the Commission (**Staff**) for approval of a settlement agreement dated October 18, 2017 (the **Settlement Agreement**), was heard on October 20, 2017 at the offices of the Commission located at 20 Queen Street West, 17th Floor, Toronto, Ontario;

ON READING the Statement of Allegations dated October 18, 2017, and the Settlement Agreement, and on hearing the submissions of representatives of each of the parties, and on considering the Undertaking of the Respondent dated October 17, 2017 to make a payment of \$970,000 to be designated for allocation or use by the Commission in accordance with subsection 3.4(2)(b) of the Act;

IT IS ORDERED THAT:

1. this Settlement Agreement be approved;
2. the Respondent be reprimanded, pursuant to paragraph 6 of subsection 127(1) of the Act; and
3. the Respondent pay costs in the amount of \$25,000, pursuant to section 127.1 of Act.

"D. Grant Vingoe"

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"Deborah Leckman"

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