

IN THE MATTER OF THE SECURITIES ACT, R.S.O. 1990, c. S.5, AS AMENDED

AND

IN THE MATTER OF THE REGISTRATION OF ALAN CLARKE ROBINSON

DECISION OF THE DIRECTOR

1. Alan Clarke Robinson (**Robinson**) is registered under the *Securities Act*, R.S.O. 1990, c. S.5, as amended (the **Act**) as a mutual fund dealing representative with Global Maxfin Investments Inc.
2. Robinson resides in Alberta, and his principal regulator is the Alberta Securities Commission (**ASC**). In addition to Alberta and Ontario, Robinson is also registered in British Columbia.
3. On September 27, 2024, the ASC proposed terms and conditions providing that Robinson's registration be made subject to strict supervision, due to concerns that he did not demonstrate the solvency required of a registered individual.
4. On October 23, 2024, Robinson consented to these terms and conditions, which became effective in Alberta and British Columbia.
5. On November 7, 2024, the Registration, Inspections and Examinations Division of the Ontario Securities Commission (**RIE Division**) sent a letter to Robinson (the **Letter**) informing him that the RIE Division was recommending to the Director that his registration under the Act be subject to the terms and conditions set out in Schedule A to this Decision (the **Terms and Conditions**), which are substantially the same as the terms and conditions imposed by the Executive Director of the ASC, pursuant to s. 28 of the Act.
6. The basis for the regulatory action recommended in the Letter was that it would be objectionable for Robinson's registration to be subject to terms and conditions in Alberta and British Columbia, but not in Ontario, and the Letter informed Robinson of his right to request an opportunity to be heard under s. 31 of the Act if he wished to oppose the RIE Division's recommendation.
7. Robinson has provided written confirmation to the RIE Division that he consents to the imposition of the Terms and Conditions under the Act. Accordingly, the Terms and Conditions were imposed on Robinson's registration effective November 7, 2024.

November 15, 2024

"Dena Staikos"

Manager

Registration, Inspections and Examinations Division

Schedule A

Terms and Conditions for the of Registration of Alan Clarke Robinson

The registration of Alan Clarke Robinson (the “**Registrant**”) as a dealing representative in the category of mutual fund dealer is subject to the specific terms and conditions set out below. These terms and conditions were imposed by the Director pursuant to Section 28 of the *Securities Act* (Ontario) (the **Act**).

Strict Supervision

1. The Registrant is subject to strict supervision.
2. The Firm must complete monthly strict supervision reports on the Registrant’s trade activities and dealings with clients and deliver these reports to the Alberta Securities Commission (**ASC**). The strict supervision reports shall be in the form of, and shall satisfy the requirements set out in, Schedule B to CSA Staff Notice 31-349 (the Schedule B Requirements), subject to the following:
 - (a) in addition to the delivery requirements set out in subparagraph 2(b) of the instructions contained in the Schedule B Requirements, each monthly strict supervision report shall be delivered to ASC Staff within 15 calendar days after the end of the month to which such report relates.

These terms and conditions of registration constitute Ontario securities law, and a failure by the Registrant to comply with these terms and conditions may result in further regulatory action, including a suspension of registration.