

IN THE MATTER OF
THE *SECURITIES ACT*, R.S.N.S. 1989, CHAPTER 418, AS AMENDED (the Act)

- and -

IN THE MATTER OF
DOUGLAS G. RUDOLPH, PETER A.D. MILL, CFG*CN Ltd. (also known as
CANGLOBE FINANCIAL GROUP), AND CANGLOBE INTERNATIONAL CAPITAL INC.
(collectively the Respondents)

MEMORANDUM OF PRE-HEARING CONFERENCE

This Memorandum of Pre-Hearing Conference is prepared pursuant to part 9.8 of Nova Scotia Securities Commission Rule 15-501 General Rules of Practice and Procedure (Rule 15-501).

The Commission held, via teleconference, a Pre-Hearing Conference at 9:30 a.m. on October 14, 2020 (the Pre-Hearing Conference).

In attendance were Jennie Pick, counsel for the Director of Enforcement (the Director) of the Nova Scotia Securities Commission (the Commission), and Christopher Robinson, counsel for Douglas G. Rudolph. Although proper service of documents was effected on the Respondents, none of CFG*CN Ltd., CanGlobe International Capital Inc., or Peter A.D. Mill attended the Pre-Hearing Conference.

The following agreements, undertakings, and orders were made or given at the Pre-Hearing Conference.

AGREEMENTS:

The dates previously scheduled for the hearing of the Director's Statement of Allegations, namely November 16-20, 23-27, and 30, and December 1-4, 7-11, and 14-18, 2020 (the Hearing), will continue to be reserved by the Panel and parties and will not be shortened at this time.

The Director may call one witness, RD, by teleconference or videoconference at the Hearing given that RD does not reside in Nova Scotia.

UNDERTAKINGS:

None.

ORDERS:

Whereas on October 13, 2020, the Respondent, Douglas G. Rudolph, filed correspondence seeking to adjourn the Hearing and to schedule three pre-hearing motions (the Motions);

And whereas the Motions included (1) a motion to stay the Hearing on the basis of undue delay, (2) a motion to stay the Hearing on the basis that the investigation of enforcement staff underlying the Statement of Allegations violated Mr. Rudolph's rights under section 8 of the *Canadian Charter of Rights and Freedoms*, and (3) a motion in the nature of summary judgment to dismiss certain of the allegations against Mr. Rudolph for being time-barred under section 136 of the Act;

And upon hearing from Ms. Pick on behalf of the Director and Mr. Robinson on behalf of Mr. Rudolph at the Pre-Hearing Conference;

The Commission ordered as follows:

1. Mr. Rudolph's motion to adjourn the Hearing was dismissed;
2. The Hearing will begin on November 16, 2020, with the opening of the Director's case; and
3. Mr. Rudolph may advance the Motions at any point following the conclusion of the Director's case.

DATED at Halifax, Nova Scotia, this 3rd day of November, 2020.

NOVA SCOTIA SECURITIES COMMISSION

(signed) "J. Walter Thompson"

J. Walter Thompson, Q.C.
Chair

(signed) "Kenneth Wheelans"

Kenneth Wheelans
Commissioner

(signed) "Heidi Walsh Sampson"

Heidi Walsh Sampson
Commissioner