

**In the Matter of  
*The Securities Act, 1988***

**and**

**In the Matter of  
Global Financial Group NV  
Nathan Britten  
David Taylor and  
Damien Gerhard Phelps  
(the Respondents)**

**Temporary Order  
(Section 134)**

WHEREAS the Financial and Consumer Affairs Authority of Saskatchewan (the Authority) has delegated to the Director of the Securities Division (the Director) the power to make orders pursuant to section 134 of *The Securities Act, 1988*, SS 1988, c S-42.2 (the *Act*);

AND WHEREAS staff of the Authority has applied for a Temporary Order pursuant to sections 134(1) and 134(3) of the *Act*;

AND WHEREAS, upon a review of staff of the Authority's application, it appears to the Director that:

1. Global Financial Group NV purports to be an Ontario company with a registered office located at 2425 Matheson Blvd, 7<sup>th</sup> Floor, Mississauga, Ontario, L4W 5K4;
2. David Taylor and Damien Gerhard Phelps purport to be employees or officers of Global Financial Group NV;
3. Global Financial Group NV, David Taylor, and Damien Gerhard Phelps participated in the sale of securities or derivatives to a Saskatchewan investor;
4. Global Financial Group NV, David Taylor, and Damien Gerhard Phelps are not registered as 'dealers' in Saskatchewan pursuant to section 27 of the *Act*;
5. Global Financial Group NV, David Taylor, and Damien Gerhard Phelps appear to be engaging in or holding themselves out as engaging in the business of trading in securities or derivatives in Saskatchewan without registration contrary to section 27 of the *Act*;
6. "Nathan Britten" purports to be a Service Delivery Manager at Computershare Investor Services PLC (CIS).

7. “Nathan Britten” is masquerading as an actual employee of CIS, but is using a false email address and telephone number in an attempt to appear to be from CIS.
8. “Nathan Britten” effected trades of securities or derivatives on behalf of Global Financial Group NV and advised a Saskatchewan investor with respect to securities or derivatives associated with those trades.
9. “Nathan Britten” is not registered as a ‘dealer’ in Saskatchewan pursuant to section 27 of the *Act*;
10. “Nathan Britten” appears to be engaging in or holding himself out as engaging in the business of trading in securities or derivatives in Saskatchewan without registration contrary to section 27 of the *Act*;
11. “Nathan Britten” is not registered as an ‘adviser’ in Saskatchewan pursuant to section 27 of the *Act*;
12. “Nathan Britten” appears to be engaging in or holding himself out as engaging in the business of advising another as to the investing in or the buying or selling of securities or derivatives without registration contrary to section 27 of the *Act*;

AND WHEREAS the Director is of the opinion that the length of time required for a hearing would be prejudicial to the public interest;

AND WHEREAS the Director is of the opinion that it is in the public interest to make this order;

THE DIRECTOR HEREBY ORDERS THAT:

1. Pursuant to sections 134(1)(a) and 134(3) of the *Act*, the exemptions in Saskatchewan securities laws do not apply to the Respondents up to and including May 17, 2018;
2. Pursuant to sections 134(1)(d) and 134(3) of the *Act*, the Respondents shall cease trading in securities and derivatives in Saskatchewan up to and including May 17, 2018;
3. Pursuant to sections 134(1)(d.1) and 134(3) of the *Act*, the Respondents shall cease acquiring securities and derivatives for and on behalf of residents of Saskatchewan up to and including May 17, 2018; and
4. Pursuant to sections 134(1)(e) and clause 134(3) of the *Act*, the Respondents shall cease giving advice respecting securities and derivatives in Saskatchewan up to and including May 17, 2018.

TAKE NOTICE THAT this Order may be extended for such period as the Authority considers necessary where satisfactory information is not provided to the Authority prior to the expiration of this Order.

DATED at the City of Regina, in the Province of Saskatchewan, this 2<sup>nd</sup> day of May, 2018.



Dean Murrison  
Director,  
Securities Division  
Financial and Consumer Affairs Authority of  
Saskatchewan