

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

**and**

**In the Matter of  
Vincent John Mullee  
and  
Vince Mullee Financial Inc.**

**Sanctions Order**

**WHEREAS**, pursuant to section 17 of *The Financial and Consumer Affairs Authority of Saskatchewan Act* (the FCAA Act), the Chairperson of the Financial and Consumer Affairs Authority of Saskatchewan (the Authority) has appointed a panel (the Hearing Panel) to hear this matter;

**AND WHEREAS**, by virtue of subsection 17(7) of the FCAA Act, a decision or action of the Hearing Panel in relation to this matter is a decision of the Authority;

**AND WHEREAS** the Hearing Panel held a hearing on March 10, 2022 into the allegations and claims against Vincent John Mullee (the Respondent) pursuant to sections 134(1) and 134(1.1)(a) of the Act;

**AND WHEREAS** the Hearing Panel is cognizant that the primary goal of securities legislation is the protection of the investing public and maintaining the integrity of capital markets such that the primary focus should be on preventing future harm;

**AND WHEREAS** the Hearing Panel has considered and similar orders made in similar circumstances in the past, the need for general and specific deterrence, and the requirement that there be proportionality between the sanctions imposed and the responsibility of the Respondent;

**AND WHEREAS** this Order reflects the operative provisions of the hearing on March 10, 2022;

**IT IS HEREBY ORDERED THAT:**

1. Pursuant to clause 134(1)(a) of the Act, all of the exemptions in Saskatchewan securities laws do not apply to the Respondent Vincent John Mullee, permanently;
2. Pursuant to clause 134(1)(d) of the Act, the Respondent Vincent John Mullee shall cease trading in any securities or derivatives in Saskatchewan, permanently;
3. Pursuant to clause 134(1)(d.1) of the Act, the Respondent Vincent John Mullee shall cease acquiring any securities or derivatives for and on behalf of residents of Saskatchewan, permanently;
4. Pursuant to clause 134(1)(e) of the Act, the Respondent Vincent John Mullee shall cease giving advice respecting any securities, trades or derivatives thereof in Saskatchewan, permanently;
5. Pursuant to clause 134(1)(h)(i) of the Act, the Respondent Vincent John Mullee shall resign any position that he holds as a director or officer of an issuer, registrant, or investment fund manager;
6. Pursuant to clause 134(1)(h)(ii) of the Act, the Respondent Vincent John Mullee is prohibited from becoming or acting as a director or officer of any issuer, registrant or investment fund manager, permanently;

7. Pursuant to clause 134(1)(h)(iii) of the Act, the Respondent Vincent John Mullee shall not be employed by any issuer, registrant, or investment fund manager in any capacity that would allow him to trade in securities or derivatives, permanently; and
8. Pursuant to clause 134(1)(h.1) of the Act, the Respondent Vincent John Mullee is prohibited from becoming or acting as registrant, investment fund manager, or promoter, permanently.

DATED at Regina, Saskatchewan on April 25, 2022.



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Howard Crofts, Chairperson of the Hearing Panel  
Financial and Consumer Affairs Authority of  
Saskatchewan