

Citation: 2024 BCSECCOM 142

Notice of Hearing

Rona-Joanne Galeon Rafal

Section 161 of the *Securities Act*, RSBC 1996, c. 418

¶ 1 The British Columbia Securities Commission (Commission) will hold a hearing (Hearing) at which the Executive Director will tender evidence, make submissions and apply for orders against Rona-Joanne Galeon Rafal (Rafal) under sections 161, 162 and 174 of the *Securities Act*, RSBC 1996, c. 418 (the Act), based on the following facts:

Summary

1. Rafal failed to attend an interview or produce records in her possession and is, therefore, liable under section 161(6.1) and section 162(3) of the Act.

Background

2. Rafal is a resident of Vancouver, British Columbia.

Misconduct

3. On February 12, 2024, staff issued Rafal a demand under section 144 of the Act to produce certain records in her possession by March 8, 2024 (the Demand).
4. On February 12, 2024, staff issued Rafal a summons under section 144 of the Act requiring her to attend the Commission offices on March 12, 2024 at 2:00 p.m. and give evidence on oath (the Summons).
5. On February 17, 2024, a process server successfully served Rafal with copies of the Demand and the Summons at her place of work.
6. On March 11, 2024, staff sent Rafal an email and left a voicemail reminder that the Demand was overdue and that she was scheduled to attend an interview on March 12, 2024 at 2:00 p.m.
7. On March 12, 2024 at 2:00 p.m., staff and a court reporter attended the scheduled interview but Rafal did not appear. Staff called Rafal at 2:11 p.m. and left a voicemail asking to return the call. Rafal did not return the call and did not attend the interview.
8. To date, Rafal has not responded to the Demand or the Summons.

Hearing Process

¶ 2 The Respondent or her counsel are required to attend at the 12th Floor Hearing Room, 701 West Georgia Street, Vancouver, British Columbia, on **Tuesday, May 14, 2024, at**

9 a.m. if she wishes to be heard before the Commission sets a date for the Hearing. Relevant information gathered by Commission Staff in the investigation of this matter will be disclosed to the Respondent upon request to the Executive Director.

- ¶ 3 At the Hearing, the Respondent may be represented by counsel, make submissions and tender evidence. The Respondent is requested to advise the Commission of her intention to attend the Hearing by informing the Hearing Office at PO Box 10142, Pacific Centre, 701 West Georgia Street, Vancouver, BC V7Y 1L2 phone: (604) 899-6500; email: hearingoffice@bcsc.bc.ca.
- ¶ 4 If the Respondent or her counsel do not appear at the Hearing, the Executive Director may apply to have questions of liability and sanction heard at the same time. Determinations adverse to the Respondent may be made in her absence.
- ¶ 5 Orders made against the Respondent in this matter may automatically take effect against her in other Canadian jurisdictions, without further notice to the Respondent.

Peter J Brady

4/17/2024 | 4:30 PM PDT

- ¶ 6 Peter J. Brady
Executive Director