



British Columbia Securities Commission

Citation: 2018 BCSECCOM 214

## **Settlement Agreement**

**Thomas Geoffrey Bertram**

### ***Securities Act, RSBC 1996, c. 418 (the Act)***

- ¶1 The Executive Director of the British Columbia Securities Commission (the Executive Director) and Thomas Geoffrey Bertram (Bertram) agree as follows:

#### **Agreed Statement of Facts**

##### ***Background***

1. Bertram was registered under the Act as a dealing representative (investment dealer) for approximately 40 years.
2. Bertram ceased to be registered on January 31, 2017.
3. Bertram has no history of regulatory misconduct.

##### ***Misconduct***

4. Between March 24, 2017 and May 31, 2017 Bertram assisted three related issuers (the Issuers) with raising approximately \$3.1 million from six investors by acting as a finder. He received a total of \$126,970.93 in finder's fees from the Issuers in relation to this activity.
5. As a result of the above activity, Bertram traded in securities without being registered and without an available exemption from the requirement to be registered, contrary to section 34 of the Act.

##### ***Mitigating Factors***

6. Bertram agreed to make early admissions with respect to the above-noted misconduct prior to the issuance of a Notice of Hearing.

##### ***Undertakings***

7. Bertram undertakes to pay \$176,970.93 to the Commission, which is due and payable immediately without further demand, representing the total amount of finder's fees he received and an appropriate penalty in relation to his misconduct.



**Waiver**

¶2 Bertram waives any right he may have, under the Act or otherwise, to a hearing, hearing and review, judicial review or appeal related to, in connection with, or incidental to this settlement.

**Counterpart**

¶3 This Settlement Agreement may be executed in counterpart or by facsimile or electronic execution and all such counterparts of executed copies or faxed or electronic copies shall be read or construed together as if they formed one originally executed document.

¶4 July 11 , 2018

¶5 Thomas Geoffrey Bertram  
**Thomas Geoffrey Bertram**

Dennis Peeman )  
Witness Signature )  
Dennis Peeman )  
Witness Name (please print) )  
1440 Island Hwy )  
Address )  
Campbell River, BC )  
Address )  
Manager )  
Occupation )

¶6 July 12 , 2018

*Peter Brady*

¶7 Peter Brady  
Executive Director