

**UNITED STATES OF AMERICA**  
**Before the**  
**COMMODITY FUTURES TRADING COMMISSION**

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9:39 am, Apr 01, 2024

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In the Matter of: )

The Bank of Nova Scotia, )

Respondent. )  
\_\_\_\_\_ )

CFTC Docket No. 20-26

Addendum Added April 1, 2024

**ADDENDUM TO ORDER**

**WHEREAS** on August 19, 2020, the Commodity Futures Trading Commission (“Commission”) issued an Order pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions against the Bank of Nova Scotia (“Respondent”), *In re Bank of Nova Scotia*, CFTC No. 20-26, 2020 WL 4926053 (Aug. 19, 2020) (consent order) (“2020 Order”);

**WHEREAS** Section VI.C.2. of the 2020 Order directed Respondent to retain a monitor (“Monitor”) for a three-year term to review and report on Respondent’s remediation and compliance with the Act and Regulations, *id.* at \*17; and

**WHEREAS** the Monitor has reported that Respondent has made appreciable progress remediating many areas of historical non-compliance set forth in the 2020 Order; and

**WHEREAS** Respondent and the Commission’s Division of Enforcement agree that additional time is necessary to ensure completion of the remediation and undertakings set forth in the 2020 Order.

**IT IS HEREBY ORDERED THAT** the term of the Monitor set forth in Section VI.C.2. of the 2020 Order is extended by six months for purposes of ensuring completion of remediation of Respondent’s trade surveillance program and Part 20 swaps large trader reporting and the Monitor’s related review, testing, and reporting. All other terms and provisions of the 2020 Order shall remain in full force and effect.

**The provisions of this Order shall be effective as of this date.**

By the Commission.

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Christopher J. Kirkpatrick  
Secretary of the Commission  
Commodity Futures Trading Commission

Dated: April 1, 2024