Ontario

Ontario Securities Commission | Commission des valeurs mobilières de l'Ontario | 22nd Floor 20 Queen Street West Toronto ON M5H 3S8 | 22e étage 20, rue queen ouest Toronto ON M5H 3S8

IN THE MATTER OF ADAM JOSEPH ARQUETTE and ARQUETTE INSURANCE AND WEALTH MANAGEMENT

TEMPORARY ORDER
(Subsections 127(1) and 127(5.1))

WHEREAS:

1. It appears to the Ontario Securities Commission (the **Commission**) that:

   a. Adam Joseph Arquette (**Arquette**), an Ontario resident, is the principal of Arquette Insurance and Wealth Management (**AIWM**), a company incorporated under the laws of Canada and resident in Ontario; Neither Arquette nor AIWM has ever been registered with the Commission in any capacity;

   b. Arquette and AIWM have been soliciting investments from third parties (**Clients**) to be managed and invested by Arquette and AWIM, in exchange for a fee of approximately 2.5% of the Clients' investment;

   c. Arquette and AIWM may have executed direct or indirect control of more than 300 Client investment accounts, belonging to more than 100 unique Clients;

   d. Arquette and AIWM may have co-mingled funds received from Clients with Arquette's personal funds, including funds deposited into Arquette's personal trading accounts;

   e. Arquette and AIWM may have obscured their conduct, including trading losses in Client investment accounts, by ensuring that brokerage statements were not sent directly to Clients, and misrepresenting the value of Client investment accounts and losses;

   f. Arquette and AIWM may be continuing to receive fees from Clients for trading in securities on behalf of the Clients;

   g. Arquette and AIWM may be continuing to solicit persons for the purpose of trading in securities on their behalf for a fee;

   h. Arquette and AIWM may have breached Ontario securities law and acted contrary to the public interest, including by:

      i. engaging or participating in an act, practice or course of conduct relating to securities that the person or company knows or reasonably ought to know perpetrates a fraud on any person or company, contrary to section 126.1(1)(b) of the *Securities Act*, R.S.O. 1990, c. S.5, as amended (the **Act**);

      ii. engaging in or holding themselves out as engaging in the business of trading in securities without being registered and without an applicable exemption from the registration requirements, contrary to section 25 of the Act; and

iii. engaging in or holding themselves out as engaging in the business of advising in securities without being registered and without an applicable exemption from the registration requirements, contrary to section 25 of the Act;

2. The Commission is conducting an investigation into the conduct described above;
3. The Commission is of the opinion that the time required to conclude a hearing could be prejudicial to the public interest; and
4. The Commission is of the opinion that it is in the public interest to make this Order.

IT IS ORDERED pursuant to section 127 of the Act that:

1. pursuant to clause 2 of subsection 127(1), trading in any securities by Arquette, AIWM, or by any person on their behalf, including but not limited to any act, advertisement, solicitation, conduct, or negotiation, directly or indirectly in furtherance of a trade, shall cease;
2. pursuant to clause 3 of subsection 127(1), any exemptions contained in Ontario securities law do not apply to Arquette or AIWM; and
3. pursuant to subsection 127(6) of the Act, this order shall take effect immediately and shall expire on the 15th day after its making unless extended by order of the Capital Markets Tribunal.

DATED at Toronto, this 27th day of October 2025.

”D. Grant Vingoe”

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Chief Executive Officer, Ontario Securities Commission