

NOV 09 2018

IN THE MATTER OF:

THE RULES OF THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA

AND

RICHARD BARKWELL

NOTICE OF APPLICATION FOR SETTLEMENT HEARING

The Investment Industry Regulatory Organization of Canada (IIROC) will hold a hearing to consider whether to accept a Settlement Agreement entered into between staff of IIROC and the Respondent, Richard Barkwell, pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on: December 11, 2018 at 2:00 p.m.

The settlement hearing will be held at: Reportex
1010 - 925 W. Georgia Street
Vancouver, BC V6C 3L2

METHOD OF HEARING

The settlement hearing will be conducted as an:

ORAL HEARING

ELECTRONIC HEARING

WRITTEN HEARING

THE SETTLEMENT AGREEMENT

The Settlement Agreement addresses proposed allegations that Richard Barkwell violated IIROC Rule 43 by engaging in personal financial dealings with clients.

THE SETTLEMENT HEARING

The hearing is not open to the public, but the public will be advised whether the Settlement Agreement has been accepted or rejected. The Settlement Agreement will be made public if it is accepted by the Hearing Panel together with the Hearing Panel's reasons for acceptance.

DATED this 9th day of November, 2018.



NATIONAL HEARING COORDINATOR
Investment Industry Regulatory Organization of Canada
Suite 2000, 121 King Street West
Toronto, Ontario, M5H 3T9