

NOV 23 2018

IN THE MATTER OF:

**THE RULES OF THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA**

**AND**

**RAYMOND JAMES LTD.**

**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 (“Staff”) and Raymond James Ltd. pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on: December 4, <sup>2018 10:00 N.W.</sup> ~~2019~~ at ~~9:00~~ a.m.

The settlement hearing will be held at: UBC Robson Square  
800 Robson Street  
Classroom Level, Room C 400  
Vancouver, BC

**METHOD OF HEARING**

The settlement hearing will be conducted as a[n]:

ORAL HEARING

ELECTRONIC HEARING

WRITTEN HEARING

## **THE SETTLEMENT AGREEMENT**

The Settlement Agreement addresses proposed allegations that Raymond James Ltd. violated IIROC Rules 38.1 and 2500, in that it incorrectly calculated the fees it charged to certain clients who had non-discretionary fee based accounts.

## **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 23<sup>rd</sup> day of November, 2018.



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