

IN THE MATTER OF:

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

AND

JOHN MANUEL REYES

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 John Manuel Reyes pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on: November 28, 2018 at 10:00 a.m.

The settlement hearing will be held at: Bow Valley Square Conference Centre (Bow 2, 3rd Floor)
– Hamilton Room 205 – 5th Avenue S.W. Calgary, Alberta

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 Mr. Reyes violated IIROC Dealer Member Rules 1300.1(a), 1300.1(q) and 29.1 by failing to use due diligence to learn and remain informed of the essential facts relative to two clients, by failing to use due diligence to ensure that investment recommendations were suitable for two clients and by providing personal funds to a client in order to trade securities through the client's account.

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 19 day of November 2018.

"NATIONAL HEARING COORDINATOR"

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