

**MAR 07 2019**

IN THE MATTER OF:

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

**AND**

**BARRY MOSHER**

**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 Barry Mosher pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on Tuesday April 2<sup>nd</sup>, 2019 at 10:00 a.m.

The settlement hearing will be held at: The Nova Scotia Securities Commission, 5251 Duke Street, Duke Tower, Suite 400, Halifax, Nova Scotia.

**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 Barry Mosher failed to know a client and made unsuitable recommendations for that client.

## **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 7<sup>th</sup> day of March, 2019.



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