


SEP 29 2019

IN THE MATTER OF:

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

AND

ALYKHAN KASSAM

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, Alykhan Kassam, pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on: September 18, 2019 at 10:00 a.m.

The settlement hearing will be held at: Reportex
1010 – 925 West Georgia Street
Vancouver, BC, Canada 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 Alykhan Kassam made unsuitable recommendations for two 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 29 day of July, 2019.



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