

  
APR 25 2019

**IN THE MATTER OF:**

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

**AND**

**SHANE DUBIN**

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

The settlement hearing will be held on May 29, 2019 at 10:00 a.m.

The settlement hearing will be held at: IIROC – 121 King Street West, Suite 2000, Toronto, ON

**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 Shane Dubin violated Dealer Member Rule 29.1 (prior to September 1, 2016) and Consolidated Rule 1400 by recommending and facilitating futures and options trading outside of his Dealer Member and for which he was not approved.

## **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 25 day of April, 2019.



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