

JAN 28 2019

IN THE MATTER OF:

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

AND

COLIN GEORGE GRAHAM BAIRD

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 **Colin George Graham Baird** pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on February 21, 2019 at 10:00 a.m.

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

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 a proposed allegation that Mr. Baird violated IIROC Rule 1300.1(q) by failing to ensure that his use of margin was suitable for his 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 28th day of January, 2019.



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