  
AUG 24 2020

**IN THE MATTER OF:**

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

**AND**

**AARON JAY ROWLATT**

**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 Aaron Jay Rowlatt pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on September 9, 2020 at 10:00 a.m.

The settlement hearing will be held by way of videoconference call.

**METHOD OF HEARING**

The settlement hearing will be conducted as an:

ORAL HEARING

ELECTRONIC HEARING

WRITTEN HEARING

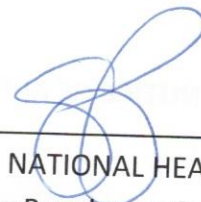
## THE SETTLEMENT AGREEMENT

The Settlement Agreement addresses proposed allegations that Aaron Jay Rowlett violated IIROC Consolidated Rule 1400 by failing to fulfill his gatekeeper responsibilities to IIROC-regulated marketplaces.

## 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 24 day of August, 2020.



---

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