

AUG 06 2020

**IN THE MATTER OF:**

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

**AND**

**WAYNE FREDERICK WORKUN**

**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 Wayne Frederick Workun pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held by way of videoconference on August 21, 2020 at 10:00 am MDT.

**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 Mr. Workun contravened Dealer Member Rule 1300.1(q) by failing to use due diligence to ensure that recommendations were suitable for the accounts of a client and Dealer Member Rule 1300.4 by engaging in discretionary trading in that client's accounts.

## 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 6 day of August, 2020.



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NATIONAL HEARING COORDINATOR

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