

AUG 19 2020

**IN THE MATTER OF:**

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

**AND**

**MERLYN BLACK**

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

The settlement hearing will be held by videoconference on Monday September 28, 2020 at 10:00 a.m.

**METHOD OF HEARING**

The settlement hearing will be conducted as an:

- ORAL HEARING
- ELECTRONIC HEARING
- WRITTEN HEARING

The respondent may object to the format of the Hearing. The objection must be made in accordance with Section 8409.

**THE SETTLEMENT AGREEMENT**

The Settlement Agreement addresses proposed allegations that Merlyn Michael Allan Black violated IIROC Rule 1300.4 by effecting discretionary trades in the accounts of three 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 19 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