

  
NOV 26 2020

**IN THE MATTER OF:**

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

**AND**

**GLENN MOLSON**

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

The settlement hearing will be held on December 17, 2020 at 10:00 am PST

The settlement hearing will be held via videoconference.

**METHOD OF HEARING**

The settlement hearing will be conducted as an  ELECTRONIC HEARING

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

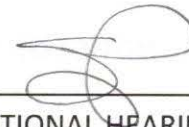
## **THE SETTLEMENT AGREEMENT**

The Settlement Agreement addresses proposed allegations that Respondent violated IIROC Rule 1300.1(a) by failing to meet with a client prior to opening an account and failing to follow his firm's client opening policies and procedures.

## **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 26 day of November 2020.



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**NATIONAL HEARING COORDINATOR**

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