

MAY 14 2020

**IN THE MATTER OF:**

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

**AND**

**JIN LI**

**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 Jin Li ("Respondent") pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on June 4, 2020 at 10 a.m.

The settlement hearing will be held via conference call. Members of the public who would like to attend the appearance should contact [NHC@iiroc.ca](mailto:NHC@iiroc.ca) to obtain the details.

**METHOD OF HEARING**

The settlement hearing will be conducted as a[n]:

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 the Respondent violated IIROC Rule 1300.4 by engaging in discretionary trading.

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 14 day of May 2020.



NATIONAL HEARING COORDINATOR

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