

MAY 11 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 teleconference on May 21, 2020 at 10am 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 clients' 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 11 day of May, 2020.



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