

IN THE MATTER OF:

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

AND

MACKIE RESEARCH CAPITAL CORPORATION

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 Mackie Research Capital Corporation 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 November 12, 2020, at 1 p.m. (EST)

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 Mackie Research Capital Corporation violated IIROC Dealer Member Rules 38.1 and 2500 by failing to adequately supervise a Registered Representative and certain of his client 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 5th day of November, 2020.

"National Hearing Coordinator"

NATIONAL HEARING COORDINATOR

Investment Industry Regulatory Organization of Canada

Suite 2000, 121 King Street West

Toronto, Ontario, M5H 3T9