

**IN THE MATTER OF:**

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

**AND**

**JAMES ROBERT HARRIS**

**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 James Robert Harris 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 Tuesday, May 4, 2021 at 10:00 a.m. (CST)

**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 Mr. Harris violated IIROC Dealer Member Rules 1300.1(a) and 1300.1(q) by failing to use due diligence to learn and remain

informed of the essential facts relative to his client and by failing to use due diligence to ensure that investment recommendations were suitable for his client.

### **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 22<sup>nd</sup> day of April 2021.

**"National Hearing Coordinator"**

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