

  
FEB 26 2021

**IN THE MATTER OF:**

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

**AND**

**BRIAN ANTHONY PETERS**

**NOTICE OF MOTION FOR SETTLEMENT HEARING**

Staff of the Investment Industry Regulatory Organization of Canada (IIROC) will ask an IIROC hearing panel to conduct a hearing and accept a Settlement Agreement that it has entered into with Brian Anthony Peters, pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC in this matter.

The settlement hearing will be held on March 8, 2021 at 10:00 a.m.

The settlement hearing will be held by videoconference.

**METHOD OF HEARING**

The settlement hearing will be conducted as an:

ORAL HEARING

ELECTRONIC HEARING

WRITTEN HEARING

## **THE SETTLEMENT AGREEMENT**

The Settlement Agreement concerns allegations that Mr. Peters made unsuitable recommendations for a client and that he accepted trading instructions from someone other than his client, without the client's written authorization.

## **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 26th day of February, 2021.



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