

*Sandra Porse*

**IN THE MATTER OF:**

March 17, 2020

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

**AND**

**THOMAS WILLIAM DUNN**

**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 Thomas William Dunn, 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 18, 2020 at 10:00 a.m.

The settlement hearing will be held by way of conference call.

**METHOD OF HEARING**

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

ORAL HEARING

ELECTRONIC HEARING

WRITTEN HEARING

## **THE SETTLEMENT AGREEMENT**

The Settlement Agreement relates to a Notice of Hearing that was issued in this matter on November 6, 2019 and would settle proposed allegations that Mr. Dunn violated IIROC Dealer Member Rules 1300.1(q), 1300.1 (o) and 1300.1 (a) by engaging in a short-term strategy that was inconsistent with good business practices and not suitable for two clients.

## **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 17<sup>th</sup> day of March 2020

*Sandra Poree*

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NATIONAL HEARING COORDINATOR  
Investment Industry Regulatory Organization of Canada  
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