

**IN THE MATTER OF:**

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

**AND**

**JEFFREY CALLAWAY**

**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 Jeffrey Callaway, pursuant to section 8428 of the IIROC Rules in this matter.

The settlement hearing will be held by way of videoconference on June 7, 2022 at 10:00 a.m.

**METHOD OF HEARING**

The settlement hearing will be conducted as an:

ELECTRONIC HEARING BY WAY OF VIDEOCONFERENCE

**THE SETTLEMENT AGREEMENT**

The Settlement Agreement relates to a Notice of Hearing that was issued in this matter on November 10, 2021 and would settle proposed allegations that Jeffrey Callaway violated IIROC Dealer Member Rule 43.1 by engaging in personal financial dealings with 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 10 day of May, 2022.

**"National Hearing Officer"**

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