

IN THE MATTER OF:

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

AND

DANIEL GEORGE GORDON

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 Daniel George Gordon, pursuant to section 8428 of the IIROC Rules in this matter.

The settlement hearing will be held on May 25, 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 August 25, 2021 and would settle proposed allegations that Daniel George Gordon violated IIROC Dealer Member Rule 18.14 and IIROC Rule 1400 (prior to September 1, 2016, Dealer Member Rule 29.1) by engaging in an outside business activity without informing and without the approval of his Dealer Member and IIROC Dealer Member Rule 43 by engaging in personal financial dealings with a 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 24 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