

**IN THE MATTER OF:**

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

**AND**

**GREGORY PAUL BEALER**

**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 Gregory Paul Bealer pursuant to IIROC Rule 8428.

The settlement hearing will be held by a way of videoconference on October 20, 2022, at 10:00 a.m. (MT)

**METHOD OF HEARING**

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

☒ ELECTRONIC HEARING BY WAY OF VIDEOCONFERENCE

**THE SETTLEMENT AGREEMENT**

The Settlement Agreement addresses proposed allegations that Mr. Bealer violated IIROC Rules 1400 and 43.2(5) by failing in his role as gatekeeper, making off-book investments, and by failing to designate several client accounts as pro-accounts and investing the client accounts in ineligible new issues.

## **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 30<sup>th</sup> day of September, 2022.

**"National Hearing Officer"**

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