

IN THE MATTER OF:

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

AND

R.J. O'BRIEN & ASSOCIATES CANADA INC.

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 R.J. O'Brien & Associates Canada Inc. ("R.J. O'Brien"), pursuant to section 8428 of the IIROC Rules in this matter.

The settlement hearing will be held on November 30, 2022 at 10:00 a.m. (ET)

METHOD OF HEARING

The settlement hearing will be conducted as an:

ELECTRONIC HEARING VIA VIDEOCONFERENCE

THE SETTLEMENT AGREEMENT

The Settlement Agreement relates to a Notice of Hearing that was issued in this matter on November 22, 2021 and would settle proposed allegations that R.J. O'Brien failed to adequately supervise the activities of one of its Registered Representatives in relation to nine specific Client

accounts by failing to maintain adequate records of its supervisory activities in relation to those accounts, contrary to Dealer Member Rules 38.1 and 2500.

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 2 day of November 2022

"National Hearing Officer"

NATIONAL HEARING OFFICER

Investment Industry Regulatory Organization of Canada

Suite 2000, 121 King Street West

Toronto, Ontario, M5H 3T9