

**IN THE MATTER OF:**

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

**AND**

**MARNI GAY HARVEY**

**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 Marni Gay Harvey pursuant to IIROC Rule 8428.

The settlement hearing will be held on December 5, 2022, at 1:00 p.m. (CT)

**METHOD OF HEARING**

The settlement hearing will be conducted as an:

ELECTRONIC HEARING BY WAY OF VIDEOCONFERENCE

**THE SETTLEMENT AGREEMENT**

The Settlement Agreement addresses proposed allegations that Ms. Harvey violated IIROC Rule 1400 by failing in her obligations regarding the proper execution of client documents, resulting in the collection, possession, and use of Pre-Signed client forms.

## **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 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