

**IN THE MATTER OF**

**THE INVESTMENT DEALER AND PARTIALLY CONSOLIDATED RULES**

**AND**

**ROBERT BARBER**

**NOTICE OF MOTION FOR SETTLEMENT HEARING**

Enforcement Staff will bring a motion to a hearing panel of the Corporation<sup>1</sup> requesting that it accept a settlement agreement between Enforcement Staff and the Respondent, Robert Barber pursuant to sections 8215 and 8428 of the Investment Dealer and Partially Consolidated Rules (the "Investment Dealer Rules").

**THE SETTLEMENT AGREEMENT**

The Settlement Agreement relates to a Notice of Hearing that was issued on August 11, 2022, and would settle the proposed allegation that between December 2017 and August 2018, the Respondent failed to fulfill his gatekeeper responsibilities, contrary to IIROC Rule 1400.

**THE SETTLEMENT HEARING**

The settlement hearing will be held by videoconference on Friday, May 26, 2023 at 2:00 p.m. PT

The hearing is not open to the public, but the public will be notified if the settlement agreement is accepted. If the settlement agreement is accepted, it will be made public together with the hearing panel's reasons.

**DATED** May "11", 2023.

**"National Hearing Officer"**

NATIONAL HEARING OFFICER  
New Self-Regulatory Organization of Canada,  
a consolidation of IIROC and the MFDA  
Suite 2000, 121 King Street West  
Toronto, Ontario, M5H 3T9

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<sup>1</sup>On January 1, 2023, IIROC and the MFDA were consolidated into a single self-regulatory organization recognized under applicable securities legislation. The New Self-Regulatory Organization of Canada (the “Corporation”) has adopted interim rules that incorporate the pre-amalgamation regulatory requirements contained in the rules and policies of IIROC and the by-law, rules and policies of the MFDA (the “Interim Rules”). The Interim Rules include (i) the Investment Dealer and Partially Consolidated Rules, (ii) the UMIR and (iii) the Mutual Fund Dealer Rules. These rules are largely based on the rules of IIROC and the rules and certain by-laws and policies of the MFDA that were in force immediately prior to amalgamation. Where the rules of IIROC and the rules and by-laws and policies of the MFDA that were in force immediately prior to amalgamation have been incorporated into the Interim Rules, Enforcement Staff have referenced the relevant section of the Interim Rules.