

IN THE MATTER OF:

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

AND

iA PRIVATE WEALTH INC.

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 iA Private Wealth Inc. pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held by way of videoconference on July 29, 2021 at 10:00 a.m.

METHOD OF HEARING

The settlement hearing will be conducted as an:

ELECTRONIC HEARING

THE SETTLEMENT AGREEMENT

The Settlement Agreement addresses proposed allegations that iA Private Wealth Inc. contravened Dealer Member Rule 38.1 by failing to establish and maintain a system to supervise the activities of its employees reasonably designed to achieve compliance with IIROC requirements.

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 20 day of July, 2021.

"NATIONAL HEARING OFFICER"

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