

IN THE MATTER OF:

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

AND

THOMAS ROBERT STOCK

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 Thomas Robert Stock, pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC in this matter.

The settlement hearing will be held by videoconference on October 18, 2021 at 10:00 a.m., Pacific Standard Time.

METHOD OF HEARING

The settlement hearing will be conducted as an:

ORAL HEARING

THE SETTLEMENT AGREEMENT

The Settlement Agreement relates to a Notice of Hearing that was issued in this matter on March 1, 2021 and would settle proposed allegations that Mr. Stock:

- 1) violated Dealer Member Rules 1300.1(o) and 1300.1(q) by engaging in excessive trading in the accounts of a client, which was not within the bounds of good business practices and not suitable for the client; and
- 2) violated Consolidated Rule 8104 by failing to cooperate with IIROC Enforcement Staff who were conducting an investigation.

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 September, 2021.

"National Hearing Officer"

NATIONAL HEARING OFFICER

Investment Industry Regulatory Organization of Canada
Suite 2000, 121 King Street West
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