

IN THE MATTER OF:

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

AND

CANACCORD GENUITY CORP.

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 Canaccord Genuity Corp. pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on December 15, 2021 at 10:00 a.m.

The settlement hearing will be held at: Vancouver, B.C. via Webex.

METHOD OF HEARING

The settlement hearing will be conducted as an:

ORAL HEARING

THE SETTLEMENT AGREEMENT

The Settlement Agreement addresses proposed allegations that [Respondent] violated IIROC Rules 38.1 and 2500 by failing to establish and maintain a system of internal controls and supervision to detect issues with the account fee calculations in fee-based accounts.

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 2nd day of December 2021.

<<NATIONAL HEARING OFFICER>>

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