



CIRO · OCRI

Canadian Investment
Regulatory
Organization

Organisme canadien
de réglementation
des investissements

**IN THE MATTER OF
THE INVESTMENT DEALER AND PARTIALLY CONSOLIDATED RULES
AND
CANACCORD GENUITY CORP.**

NOTICE OF APPLICATION FOR SETTLEMENT HEARING

Enforcement Staff will bring an application to a hearing panel of the Canadian Investment Regulatory Organization (“CIRO”) requesting that it accept a settlement agreement between Enforcement Staff and Canaccord Genuity Corp. pursuant to sections 8215 and 8428 of the Investment Dealer and Partially Consolidated Rules (the “Investment Dealer Rules”).

THE SETTLEMENT AGREEMENT

The settlement agreement addresses proposed allegations that Canaccord Genuity Corp. contravened Investment Dealer Rule 1400 by failing to act as a gatekeeper to the capital markets in relation to the trading activity in low-priced securities listed or traded over-the-counter in the U.S. by a client.

THE SETTLEMENT HEARING

The settlement hearing will be held by videoconference on Friday, May 16, 2025 at 10:00 a.m. ET

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 April 21, 2025.

“National Hearing Officer”

NATIONAL HEARING OFFICER
Canadian Investment Regulatory Organization
40 Temperance Street, Suite 2600
Toronto, Ontario, M5H 0B4