



**CIRO · OCRI**

Canadian Investment  
Regulatory  
Organization

Organisme canadien  
de réglementation  
des investissements

**Notice of Settlement Hearing**

**File No. 2025-000189**

**IN THE MATTER OF  
THE MUTUAL FUND DEALER RULES**

**AND**

**JEREMY EARL CLARK**

**NOTICE OF SETTLEMENT HEARING**

Enforcement Staff will bring an application to a Hearing Panel of the Canadian Investment Regulatory Organization (“CIRO”)<sup>1</sup> requesting that it accept a settlement agreement between Enforcement Staff and **Jeremy Earl Clark** (the “Respondent”) pursuant to Rules 14 and 15 of the Mutual Fund Dealer Rules of Procedure and Mutual Fund Dealer Rule 7.4.4.

**THE SETTLEMENT AGREEMENT**

The settlement agreement addresses proposed allegations that the Respondent contravened MFDA Rules 2.1.4 and 2.1.5 by engaging in personal financial dealings with clients of a dealer member of CIRO (the “Dealer Member”) and MFDA Rule 2.1.1 by making false or misleading statements to the Dealer Member.

**THE SETTLEMENT HEARING**

The settlement hearing will be held by videoconference on Thursday, July 24, 2025 at 1:00 p.m. MT.

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** June 3, 2025.

**“National Hearing Officer”**

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

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<sup>1</sup> Where the rules, by-laws, and policies of the Mutual Fund Dealers Association of Canada (the “MFDA”) that were in force immediately prior to amalgamation of the Investment Industry Regulatory Organization

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of Canada and the MFDA have been incorporated into the Mutual Fund Dealer Rules, Enforcement Staff have referenced the relevant section of the Mutual Fund Dealer Rules.