



CIRO · OCRI

Canadian Investment
Regulatory
Organization

Organisme canadien
de réglementation
des investissements

**IN THE MATTER OF
THE INVESTMENT DEALER AND PARTIALLY CONSOLIDATED RULES AND THE DEALER MEMBER
RULES AND THE UNIVERSAL MARKET INTEGRITY RULES
AND
JAMES HARTWELL**

NOTICE OF MOTION FOR SETTLEMENT HEARING

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

THE SETTLEMENT AGREEMENT

The settlement agreement relates to a Notice of Hearing that was issued in this matter on October 31, 2024 and would settle allegations that the Respondent contravened Dealer Member Rules and UMIR (as applicable) by:

- a. failing to adequately supervise the activities of Registered Representative Richard Yuck relative to client JP;
- b. failing to use due diligence to learn and remain informed of the essential facts relative to client JP;
- c. failing to use due diligence to ensure that investment recommendations were suitable for client JP;
- d. attempting to interfere with Staff's investigation concerning the accounts of client JP; and
- e. failing to ensure that orders in a listed security on a marketplace were designated for the account of a person who was an insider of the security which is the subject of the order.

THE SETTLEMENT HEARING

The settlement hearing will be held by videoconference on Wednesday, November 19, 2025 at 10:00 a.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 November 3, 2025.

“National Hearing Officer”

NATIONAL HEARING OFFICER
Canadian Investment Regulatory Organization
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