



**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  
WEI (WENDY) SETO**

**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 Wei (Wendy) Seto 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 between December 2019 and April 2021, Wei (Wendy) Seto contravened Dealer Member Rule 43 by engaging in personal financial dealings with five Dealer Member clients.

**THE SETTLEMENT HEARING**

The settlement hearing will be held by videoconference on January 20, 2026 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** December 18, 2025.

“NATIONAL HEARING OFFICER”

NATIONAL HEARING OFFICER  
Canadian Investment Regulatory Organization  
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