



**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  
RBC DOMINION SECURITIES INC.**

**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 RBC Dominion Securities Inc. 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 December 18, 2025 and would settle allegations that RBC Dominion Securities Inc. contravened Investment Dealer Rule 3900 (prior to January 1, 2022, Dealer Member Rules 38.1 and 2500) by failing to establish, maintain and enforce an adequate system to supervise the futures trading activity of two Registered Representatives.

**THE SETTLEMENT HEARING**

The settlement hearing will be held by videoconference on Thursday, June 18, 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** June 5, 2026.

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**“National Hearing Officer”**  
NATIONAL HEARING OFFICER  
Canadian Investment Regulatory Organization  
40 Temperance Street, Suite 2600  
Toronto, Ontario, M5H 0B4