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
DANIEL NOONAN

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 Daniel Noonan 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 Daniel Noonan:

(a) failed to accurately record the essential facts relative to five clients, contrary to Dealer Member Rule 1300.1(a) (prior to December 31, 2021) and Investment Dealer Rule 3200 (after December 31, 2021);

(b) failed to ensure that the investments in the accounts of five clients were suitable, contrary to Dealer Member Rule 1300.1(o) and (q) (prior to December 31, 2021) and Investment Dealer Rule 3400 (after December 31, 2021);

(c) engaged in personal financial dealings with multiple clients, contrary to Dealer Member Rule 43; and

(d) facilitated off-book investments in a private placement without the knowledge or approval of the Dealer Member, contrary to Investment Dealer Rule 1400.

THE SETTLEMENT HEARING

The settlement hearing will be held by videoconference on Wednesday, December 02, 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 November 4, 2026.

"National Hearing Officer"
NATIONAL HEARING OFFICER

Canadian Investment Regulatory Organization
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