



**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 UNIVERSAL MARKET INTEGRITY RULES**

**AND**

**RBC DOMINION SECURITIES INC.**

**NOTICE OF APPLICATION FOR 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 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 addresses proposed allegations that the Respondent committed the following contravention of CIRO requirements:

- (i) On September 18, 2023, RBC Dominion Securities Inc. traded in securities by means other than the entry of an order on a marketplace, contrary to UMIR 6.4.

**THE SETTLEMENT HEARING**

The settlement hearing will be held by videoconference on Friday, September 20, 2024 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** September 11, 2024.

**“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> The Canadian Investment Regulatory Organization (“CIRO”) has adopted interim rules that incorporate the pre-amalgamation regulatory requirements contained in the rules and policies of IIROC and the by-law, rules and policies of the MFDA (the “Interim Rules”). The Interim Rules include (i) the Investment Dealer and Partially Consolidated Rules, (ii) the UMIR and (iii) the Mutual Fund Dealer Rules. These rules are largely based on the rules of IIROC and the rules and certain by-laws and policies of the MFDA that were in force immediately prior to amalgamation. Where the rules of IIROC and the rules and by-laws and policies of the MFDA that were in force immediately prior to amalgamation have been incorporated into the Interim Rules, Enforcement Staff have referenced the relevant section of the Interim Rules.

Section 1105 (Transitional provision) of the Investment Dealer and Partially Consolidated Rules sets out CIRO’s continuing jurisdiction, including that CIRO shall continue the regulation of any person subject to the jurisdiction of the Investment Industry Regulatory Organization of Canada that was formerly conducted by the Investment Industry Regulatory Organization of Canada.