

JAN 16 2018

IN THE MATTER OF:

THE RULES OF THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA

AND

ULA HARTNER

NOTICE OF APPLICATION FOR SETTLEMENT HEARING

The Investment Industry Regulatory Organization of Canada (“IIROC”) will hold a hearing to consider whether to accept a Settlement Agreement entered into between staff of IIROC (“Staff”) and the Respondent, Ula Hartner (“Hartner”) pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on: January 31, 2108 at 10:00 a.m.

The settlement hearing will be held at: Sandman Hotel Vancouver City Centre
180 West Georgia Street
Vancouver, BC

METHOD OF HEARING

The settlement hearing will be conducted as an:

- ORAL HEARING
- ELECTRONIC HEARING
- WRITTEN HEARING

THE SETTLEMENT AGREEMENT

The Settlement Agreement addresses proposed allegations that the Respondent violated IIROC Rules 1300.4, 1300.1(o), and 1300.1(a) by exercising discretionary authority over accounts, engaging in excessive trading, and failing to use due diligence to learn and remain informed of the essential facts relative to every order.

THE SETTLEMENT HEARING

The hearing is not open to the public, but the public will be advised whether the Settlement Agreement has been accepted or rejected. The Settlement Agreement will be made public if it is accepted by the Hearing Panel together with the Hearing Panel's reasons for acceptance.

DATED this 16th day of January, 2018.



NATIONAL HEARING COORDINATOR
Investment Industry Regulatory Organization of Canada
Suite 2000, 121 King Street West
Toronto, Ontario, M5H 3T9