

IN THE MATTER OF:

**THE RULES OF THE INVESTMENT INDUSTRY REGULATORY
ORGANIZATION OF CANADA**

AND

EDWARD JONES

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, Edward Jones, pursuant to Section 8428 of the Consolidated Enforcement, Examination and Approval Rules of IIROC.

The settlement hearing will be held on Friday, October 28, 2016 at 10:00 a.m.

The settlement hearing will be held at: IIROC Offices, 121 King Street West, Suite 2000,
Toronto, Ontario

METHOD OF HEARING

The settlement hearing will be conducted as a[n]:

ORAL HEARING

ELECTRONIC HEARING

WRITTEN HEARING

THE SETTLEMENT AGREEMENT

The Settlement Agreement addresses allegations involving the adequacy of retail account supervision, having regard to IIROC Dealer Member Rules 38.1 and 2500.

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.

DATED this 25th day of October, 2016.

“NATIONAL HEARING COORDINATOR”

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