

# INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA

IN THE MATTER OF:

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

**AND**

**JOHN PHILLIP WATTS AND SEAN THOMAS HICKEY**

**Hearing Panel:**

Richard Bird  
Nancy Ross  
Roland Coffill

**Appearances:**

Natalija Popovic, Enforcement Counsel for IIROC  
Kevin Kiley, Counsel for Mr. Watts  
Laura Paglia, Counsel for Mr. Hickey

---

## ORDER

---

Upon hearing submissions of IIROC Staff and Counsel for the Respondents via conference call on September 24th, 2015 at a set date hearing, and upon being advised that the parties:

- i) Attended a Pre-Hearing Conference before a Presiding Officer on September 15th, 2015;
- ii) Have agreed to continue the Pre-Hearing Conference on October 26<sup>th</sup>, 2015; and
- iii) Have agreed to re-attend before this Hearing Panel on December 3, 2015.

This Hearing Panel ordered that:

The parties shall attend to continue a Pre-Hearing Conference on October 26th, 2015; and shall re-attend before this Hearing Panel on December 3, 2015 by conference call. The conference call will be open to the public, unless the Hearing Panel orders otherwise.

Interested members of the public may obtain the conference call dial in number from IIROC's National Hearing Co-ordinator by emailing [nhc1@iroc.ca](mailto:nhc1@iroc.ca).

DATED at \_\_\_\_\_, this \_\_\_\_\_ day of September 2015.

---

Richard Bird

---

Nancy Ross

---

Roland Coffill