

**IN THE MATTER OF:**

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

**AND**

**STEEVE BUISSON**

**NOTICE OF APPLICATION FOR SETTLEMENT HEARING**

A hearing has been scheduled before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC), to consider whether the Hearing Panel should accept a Settlement Agreement entered into between Staff of IIROC (Staff) and Steve Buisson (Respondent), pursuant to Rule 8428 of IIROC's Enforcement, Examination and Approval Rules.

The settlement hearing will be held on May 9, 2016 at 9h30 a.m.

The settlement hearing will be held at: 5 Place Ville Marie, Suite 1550  
Montréal, Québec, H3B 2G2  
Carmen Crépin Room

**TYPE OF HEARING**

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

ORAL HEARING

ELECTRONIC HEARING

WRITTEN HEARING

## **THE SETTLEMENT AGREEMENT**

The Settlement Agreement concerns allegations that Steeve Buisson contravened the following IIROC Dealer Member rules:

- Rule 38.4(a) - Failure to adequately supervise a registered representative under his responsibility, in accordance with supervision conditions imposed on this registered representative by the Québec District Council Approval Committee; and
- Rule 38.4(a) - Failure to ensure that a registered representative under his supervision met the training requirements stipulated in IIROC Dealer Member Rule 2900.3, in connection with the 90-day Training Program.

## **THE SETTLEMENT HEARING**

The hearing is not open to the public unless and until the Settlement Agreement has been accepted by the Hearing Panel. If the agreement is accepted, the Panel's decision and the Settlement Agreement will be made available to the public.

**SIGNED** this 13 day of March, 2017.

(s) National Hearing Coordinator

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NATIONAL HEARING COORDINATOR  
Investment Industry  
Regulatory Organization of Canada  
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