

August 7, 2017

ENFORCEMENT

HEARINGS

For the week of August 7– 11

No hearing scheduled for this week

NOTICES

- **Hampton Securities Ltd.:** [Settlement Accepted](#)
- **Moon, Comeau, Torch:** [Settlement Accepted](#)
- **Alberto (Bob) Tassone:** [Adjournment](#)
- **Yousef Hashmi:** [Settlement Accepted](#)
- **Richard Dykeman:** [Settlement Hearing](#)
- **Russell Waddington:** [Settlement Accepted](#)
- **Melissa Prusky:** [Settlement Accepted](#)

INVESTOR RESOURCES

Questions, inquiries or complaints?
Call IIROC toll-free: 1-877-442-4322

- [IIROC Investor Brochures](#)
- [Making a Complaint: An IIROC Guide](#)
- List of IIROC-regulated [firms](#) and [marketplaces](#).

Stay connected and sign up to [ePublications](#) for customizable alerts on new notices, media releases, speeches and policy updates sent directly to your email.

New Rule Notices

[Custodial Agreements - July 31, 2017](#)

[Withdrawal of Proposed Provisions Respecting the Execution and Reporting of Certain “Off-Marketplace” Trades](#)

[Guidance on regular settlement date to be used for certain foreign exchange hedge trades](#)

[Regular settlement date to be used for certain foreign exchange hedge trades](#)

Brochures

IIROC publishes three brochures for investors available in English and French:

[How IIROC protects investors](#)

Contains useful information to help investors understand the advantages and protections offered by investing through an IIROC-regulated advisor and firm.

Effective January 1, 2017, Dealer Members must distribute this brochure, in print or electronic format, to new retail clients at account opening and existing retail clients upon request.

[An Investor’s Guide to Making a Complaint](#)

Provides investors with information on how to make a complaint to IIROC and an IIROC-regulated firm, and provides options for seeking compensation.

[Opening Your Retail Account](#)

Provides investors with detailed information on the required documentation and personal information they are required to provide firms during the account application process.

[More information on how to order](#)



Connect with IIROC on social media

IIROC DECALS FOR DEALER MEMBERS

We have produced double-sided stickers for Dealer Members to promote their membership with IIROC. Perfect for office doors or windows, these new stickers are available in bilingual or French formats.

To order your complimentary stickers, please contact Public Affairs at: publicaffairs@iiloc.ca.

