

September 11, 2017

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of September 11 - 15, 2017

- **Jean-Louis Trudeau:**
[Appearance to set a hearing date](#)

NOTICES

- **Laurentian Bank Securities Inc :**
[Settlement Accepted](#)
- **Vance Virgil Hoshizaki:**
[Disciplinary Decision](#)
- **Brian Michael Sutton:**
[Penalty Hearing](#)
- **Hampton Securities Ltd.:**
[Settlement Accepted](#)
- **Moon, Comeau, Torch:**
[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.

IIROC Releases 2016-2017 Annual Report

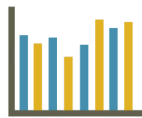
On August 28, IIROC released its Annual Report for 2016-17, highlighting initiatives that will better protect investors and support healthy Canadian capital markets.

The full report is available in [web format](#) and as a downloadable [PDF](#) on the [IIROC website](#)

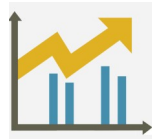
IN THE NEWS Investment Executive: [IIROC to keep regulation fees flat for next fiscal year](#)



Recent Announcements



On July 13, IIROC announced it has reached an agreement with Nasdaq's SMARTS, enabling us to significantly enhance our market surveillance capabilities resulting in increased investor protection.
[For more information](#)



On July 6, IIROC announced it has increased transparency in Canada's debt market by expanding the information available on our corporate bond website to include all corporate debt trades by all IIROC-regulated firms.
[For more information](#)

Rules

[List of floating and tracking error margin rates for qualifying Canadian and U.S. index products](#)

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

[Acceptable Institutions and Acceptable Counterparties Database](#)

[List of Foreign Exchange \(FX\) Spot Risk Margin Rates for Canadian and U.S. Base Currency Accounts](#)

[List of Securities Eligible for Reduced Margin](#)



Connect with IIROC on social media

**Check up on
your Advisor**

FIND OUT: What services your advisor is approved by IIROC to provide.

Educational background/Disciplinary history and more.

**Try IIROC
AdvisorReport
today.**

