

January 9, 2017

ENFORCEMENT

HEARINGS

For the week of January 9—13

No hearings scheduled this week.

NOTICES

- **Kurt Andrew Haller:**
[Settlement Hearing](#)
- **Jamie Peter Yaskiw:**
[Discipline decision - Liability](#)
- **Union Securities Ltd. :**
[Settlement Accepted](#)
- **Denis Denischuk:**
[Settlement Accepted](#)
- **James Wood:**
[Discipline Decision—liability](#)
- **Samuel Kloda:**
[Settlement Accepted](#)
- **Denyse Giroux-Garneau:**
[Penalty Decision](#)

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.

Membership Disclosure

Effective January 1, 2017, under IIROC's requirements, dealer members must:

- display the IIROC decal at each business location to which the public has access
- distribute the [IIROC official brochure](#), in print or electronic format, to new retail clients at account opening and existing retail clients upon request
- include the IIROC logo and a link to the IIROC website on the home page of their websites
- when providing services to retail investors, include a link and clearly visible reference to IIROC's online advisor check database, [IIROC AdvisorReport](#), on their website homepage and on any other Dealer Member webpage that includes a profile of an IIROC-regulated investment advisor. [For more information](#).

Results highlight best practices and areas for improvement

IIROC provides compliance survey update on managing conflicts in clients' best interests

On December 15, IIROC published high-level [results](#) of a targeted review of firms' policies and procedures for meeting the regulator's "best interest" requirements, showing both best practices and areas of concern in how firms manage compensation-related conflicts of interest. As it continues this review, IIROC will take appropriate regulatory action as required.

The review followed publication of an [IIROC notice](#) in April 2016, in which the regulator announced its intention to strengthen compliance with IIROC Rule 42 among the investment firms it regulates. [For more information](#).



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Educational background/Disciplinary history and more.

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