

June 19, 2017

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of June 19-23, 2017

- **June 20: Garry Walter Bond**
[Settlement Hearing](#)
- **June 22: Alberto Tassone**
[Penalty Hearing](#)

NOTICES

- **Scotia Capital:**
[Settlement Hearing](#)
- **Graeme Robert Kirkland:**
[Discipline Hearing](#)
- **Krishna Sammy:**
[Review Decision by OSC](#)
- **Hampton Securities Ltd.:**
[Settlement Hearing](#)
- **Paul Sian:**
[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.

June is Seniors' Month



New Webcast: Senior Advisors-Issues to Consider in Late Stages of Career

Facing retirement can be a stressful situation for anyone but especially for advisors. Advisors have unique business transitioning issues to address, such as the impact of their retirement on their clients. This webcast addresses a number of these issues.

Presenters on this topic are Barry LaValley, President of the Retirement Lifestyle Centre, and John Scott, a professional in the investment industry for over 25 years.

[Click here to register](#)

IIROC investor video provides seniors with useful tips

In conjunction with Seniors' Month, IIROC has released an [educational video](#) for senior investors to help them manage an advisor's retirement. Advisors nearing retirement can use this video when working with their clients.

The video complements other resources IIROC has developed to help protect senior investors, including an [investor bulletin](#) and [online resources](#).

New Rule Notices

[List of Floating and Tracking Error Margin Rates for Qualifying Canadian and U.S. Index](#)



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Check up on your Advisor

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

Educational background/Disciplinary history and more.

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