

July 10, 2017

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of July 10-14, 2017

No hearing scheduled for this week

NOTICES

- **Garry Walter Bond:** [Settlement Accepted](#)
- **Russell Waddington:** [Settlement Hearing](#)
- **Yousef Hashmi:** [Settlement Hearing](#)
- **Mohammad Movassaghi:** [Settlement Hearing](#)
- **Vance Virgil Hoshizaki:** [Disciplinary Hearing](#)
- **Steeve Buisson:** [Settlement Accepted](#)

INVESTOR RESOURCES

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

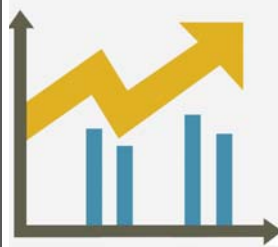
- [IIROC Investor Brochures](#)
- [Making a Complaint: An IIROC Guide](#)
- List of IIROC-regulated [firms](#) and [marketplaces](#).

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IIROC launches next phase, expanding corporate debt transparency

Corporate bond website now includes all corporate debt trades by all IIROC-regulated firms

On July 6, IIROC announced it has increased transparency in Canada's debt market



by expanding the information available on its [corporate bond website](#) to include all corporate debt trades by all IIROC-regulated firms. "IIROC is continuing to strengthen integrity and build confidence in Canada's debt market by increasing transparency, which will provide all market participants with more comprehensive information to make better investment decisions," said IIROC President and CEO Andrew Kriegler. [For more information](#)

Rules Notices

[Proposed Amendments to Client Identification and Verification Requirements](#)

Comments Due By: August 8, 2017

On July 6, IIROC is publishing for public comment proposed amendments to Part A of Rule 3200 of the proposed IIROC Dealer Member Plain Language Rule Book relating to client identification and verification requirements.

[Amendments Respecting Best Execution](#)

On June 28, the applicable securities regulatory authorities approved amendments to UMIR and the Dealer Member Rules (DMR) that consolidate existing UMIR best execution requirements and DMR requirements for fair pricing of over-the-counter (OTC) securities into a single rule on best execution.

[Guidance on Best Execution](#)

This Guidance, which is effective on January 2, 2018, clarifies certain requirements under Dealer Member Rule 3300 Best Execution of Client Orders.

IIROC's Decals for Dealer Members

To order your complimentary stickers for Dealer Members to promote their membership with IIROC, please email publicaffairs@iiroc.ca.



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