

October 6, 2017

# IIROC Weekly Update

## ENFORCEMENT

### HEARINGS

For the week of October 9-13, 2017

No hearing scheduled for this week

### NOTICES

- **Dykeman:**  
[Acceptation du règlement](#)
- **Vance Virgil Hoshizaki:**  
[Adjournment](#)
- **Nelson Turcotte:**  
[Penalty Decision](#)
- **Earl Marek:**  
[Review Requested](#)
- **Gennaro Scerbo:**  
[Appearance to set a hearing date](#)

## 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 Investors Protection Clinic**



The Canadian Foundation for Advancement of Investor Rights (FAIR Canada), and York University's Osgoode Hall Law School in Ontario are joining forces to provide free legal advice to people who believe their investments were mishandled and who cannot afford a lawyer.

The Investor Protection Clinic at Osgoode Hall Law School aims to assist investors with navigating the industry complaints process and the regulatory framework. Among other things, the clinic will help investors with complaints, and possibly even represent them at hearings.

[Click here](#) for more information on financial resources and tools from consumer agencies across Canada

## ASC CONNECT

[Register](#) to attend the Alberta Securities Commission's ASC Connect on October 19, 2017. A full day of informative and interactive plenary sessions led by senior ASC leaders and industry experts, followed by a networking cocktail reception. The event will be held at [The Hudson](#), downtown Calgary's newest event complex in the historic Stephen Ave district.

Panel discussions will focus on what's new and what's next in navigating today's capital markets, emerging frontiers in market structure, enforcement in a global environment, and the new entrepreneurship.

Click for a list of [confirmed speakers](#) and the event [agenda](#).



**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.

