

May 13, 2019

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of May 13-17, 2019

- **Christopher John Everest:**
[Settlement Hearing](#)
- **Dwight Cameron Mann:**
[Appearance to set a hearing date](#)

NOTICES

- **Sheron Crane (a.k.a. Sheron Lau)**
[Settlement Accepted](#)
- **Shane Dubin:**
[Settlement Hearing](#)
- **Michael Francis O'Brien:**
[Discipline Hearing](#)
- **Preston Henry Smith:**
[Settlement Accepted](#)
- **TD Waterhouse Canada Inc.:**
[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.

IIROC and Nasdaq Unveil State-Of-The-Art Market Surveillance Technology To Enhance Oversight Of Canada's Capital Markets

Last week, we unveiled IIROC's upgraded market surveillance system using Nasdaq's SMARTS. This leading-edge technology will significantly enhance the way IIROC oversees Canada's capital markets and protects investors from potential market abuses.



With this technology, IIROC will be at the forefront of market surveillance in Canada by opening the door to the use of artificial intelligence.

In tandem, we are unveiling our latest animation, which will help Canadian investors better understand IIROC's market oversight role. [Monitoring Equity Markets in Canada](#) is aimed at giving Canadian investors and stakeholders a greater understanding of IIROC's role in protecting them. Advisors can share this link with their clients.

[Read our news release](#)

IIROC Proposes More Flexible, Proportionate Disciplinary Actions for Enforcement

Recently, we've published for comment a rule amendment proposing two alternative forms of discipline to provide more flexibility in the way individuals and firms are disciplined for breaking IIROC's rules.



The proposed changes would provide alternatives to IIROC's formal disciplinary hearing panel process, allowing us to focus on matters that are more serious or harmful to investors. Have your say— Comments are due by July 24, 2019.

[Read our news release](#) / [Read the notice](#)

IIROC-Regulated Investment Firms Increase Cybersecurity Preparedness

We released the results of a new survey that show IIROC-regulated investment firms have taken concrete steps to put in place appropriate cybersecurity measures. [Read our news release](#)



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your Advisor**

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Educational background/Disciplinary history and more.

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