

March 5, 2018

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of March 5, 2018

- **Aidin Sadeghi:**
[Penalty Hearing](#)

NOTICES

- **Ula Hartner:**
[Settlement Accepted](#)
- **Brian Michael Sutton:**
[Penalty Decision](#)
- **Michael Bazilinsky:**
[Settlement Hearing](#)
- **Sean St-John:**
[Settlement Accepted](#)
- **Edward Peter Bodnarchuk:**
[Motion Decision](#)
- **Jean-Louis Trudeau:**
[Penalty Hearing](#)

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.

Recent IIROC Announcements

IIROC Proposes Two New Enforcement Programs

IIROC is accepting public comments on two new disciplinary approaches dealing with minor violations of IIROC rules and the early resolution of disciplinary cases. The proposed approaches would provide IIROC with added tools and flexibility to more fairly address varying degrees of rule breaches, with resources focused on matters that are more serious and/or harmful to investors. With these changes, discipline would become more timely and proportionate to the offenses.



For more information on how to submit your comments, [click here](#)

2018 Compliance Priorities Report

IIROC recently published its annual [Compliance Priorities Report](#) detailing a broad range of issues, including CRM2 requirements, conflicts of interest, and cybersecurity, on which IIROC plans to focus in its compliance exams in the coming year.

Guidance on Continuing Education Program

IIROC has issued [new guidance](#) setting out how it expects its CE rules and requirements to be applied.

REGULATED BY / RÉGLEMENTÉE PAR



We have produced double-sided stickers for Dealer Members to promote their membership with IIROC.

Perfect for office doors or windows, these stickers are available in bilingual or French formats.

To order your complimentary stickers, please contact Public Affairs at: publicaffairs@iiroc.ca.



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.

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