

April 8, 2019

# IIROC Weekly Update

## ENFORCEMENT

### HEARINGS

For the week of April 8-12, 2019

- Remo Costa:  
[Penalty Hearing](#)

### NOTICES

- Joseph Debus:  
[Discipline decision - Liability](#)
- William Alan Heakes:  
[Settlement Accepted](#)
- Brian Anthony Peters:  
[Settlement Hearing](#)
- Colin George Graham Baird:  
[Settlement Accepted](#)
- Alberto Tassone:  
[Penalty Decision](#)
- Carlos Manuel Vargas:  
[Settlement Accepted](#)

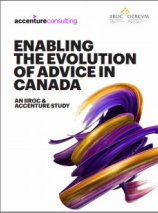
## INVESTOR RESOURCES

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.

## IIROC & Accenture report: Enabling the Evolution of Advice in Canada



Check out our new webcast on the Evolution of Advice research.

Panelists discuss the report's findings from this extensive multi-phase consultation.

[Click here to register for the webcast.](#)

You can also read the report. It offers insight into how the wealth management industry is evolving to meet investors' needs, and how regulation can support healthy capital markets and protect investors.

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

## IIROC-regulated investment firms increase cybersecurity preparedness

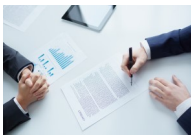


Last week, we released the results of a new survey that shows IIROC-regulated investment firms have taken concrete steps to put in place appropriate cybersecurity measures.

Insights from the survey provide firms with areas to further improve upon their cybersecurity preparedness, such as performing privacy risk or impact assessments, as well as monitoring the dark web for intelligence related to their organizations.

[Read our news release](#)

## IIROC clarifies use of e-signatures for IIROC-regulated investment firms



We recently issued updated guidance reminding investment firms that they can offer their clients the convenience of electronic signatures for contracts and consent forms.

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



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