

February 5, 2018

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of February 5-9, 2018

- **National Bank Financial: Settlement Hearing**

NOTICES

- **Kenneth Edward Smith: Appearance to set a hearing date**
- **Jean-Louis Trudeau: Penalty Hearing**
- **Alberto Tassone: Penalty Decision**
- **Nicholas Karakolis: Settlement Accepted**
- **Aidin Sadeghi: Penalty Hearing**
- **Joseph Debus: Adjournment**

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.

Request for Nominations to the Fixed Income Advisory Committee

IIROC is seeking prospective candidates to serve on the Fixed Income Advisory Committee (FIAC).

The committee makes recommendations to IIROC staff about proposed IIROC initiatives relating to fixed income trading.

Nominations must be submitted by Wednesday, February 28, 2018. [For more information](#)

New Webcast: IIROC Compliance, Trading Review and Analysis and Enforcement Presentation from the 2017 Compliance Conference



At our September 2017 Compliance Conference held in, Toronto, IIROC provided a presentation covering initiatives underway in the Compliance, Trading Review and Analysis and Enforcement areas. This webcast is a recording of that session and provides an interactive and engaging review of the critical issues that our departments are currently addressing.

[For more information](#) / [Register for this webcast](#)

IIROC Issues Compliance Priorities Report for 2017/2018

We recently published our annual [Compliance Priorities Report](#), highlighting the past year's compliance and registration achievements and areas of focus for the year ahead.

[For more information](#)



New Member — CJ Securities Inc.

CJ Securities Inc. is admitted to membership in IIROC, effective February 1, 2018.

Guidance on IIROC's Continuing Education Program

This guidance relates to our continuing education program (CE Program), and provides IIROC's views on how the CE Rules should be applied and interpreted.

[For more information](#)



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