

## ENFORCEMENT

### HEARINGS

For the week of May 14-18, 2018

No hearings scheduled

### NOTICES

- **National Bank Financial Inc.:**  
[Settlement Accepted](#)
- **Jean-Claude Lemire:**  
[Adjournment](#)
- **Robert Edward Sole:**  
[Discipline Hearing](#)
- **Shafique Hirani:**  
[Discipline Hearing](#)
- **Sherry Jean Dalla-Longa:**  
[Settlement Hearing](#)
- **Martin Wendall Matthews and Arnold Ward Francis:**  
[Settlement 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.

## IIROC 2017 Enforcement Report:

We made significant progress strengthening our ability to protect investors and enhance market integrity.

Highlights:

- completed 127 investigations
- successfully prosecuted 37 individuals and 7 firms
- permanently suspended 1 firm and suspended 16 individuals
- permanently barred 5 individuals from working at an IIROC-regulated firm in a registered capacity
- imposed total sanctions of \$3.4 million against individuals and \$1 million against IIROC-regulated firms
- Collected 16.2 per cent of fines against individuals

[Read the full report](#) / [Statistics highlights](#)



## New Webcast: Membership Disclosure-Benefits of IIROC Membership

New [IIROC Disclosure rules](#) came into effect in 2017, with one final amendment to come into effect on July the 1st, 2018.

The CIPF Disclosure Policy describes the requirements for disclosure of CIPF membership by Members.

This short webcast explains the changes and highlight the benefits of IIROC membership, including CIPF coverage. It also discusses the results of third party surveys conducted for IIROC and CIPF, which points out that advisors can use this information as a real differentiator of the value they provide to clients.

[For more information](#) / [Click here to register](#)



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