

July 15, 2019

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of July 15-19, 2019

- **Jacques Maurice:**
[Settlement Hearing](#)

NOTICES

- **Robert Adrian Crandall:**
[Review Decision](#)
- **Philip Winer:**
[Settlement Accepted](#)
- **Christopher Mark Reid and David John Reid:**
[Settlement Hearing](#)
- **Douglas John Eley:**
[Discipline Hearing](#)
- **Michael Alexander McKee:**
[Appearance to set a hearing date](#)
- **Dwight Cameron Mann:**
[Discipline 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.

Notice: Proposed Amendments Respecting Client Identifiers for Reportable Debt Transactions



IIROC is publishing for comment proposed amendments that would require Dealer Members to report the following client identifiers for transactions in debt securities:

- Legal Entity Identifier for a client supervised as an institutional client
- Account number for a client supervised as a retail client

Comments should be made in writing and delivered by August 12, 2019. [Read the notice.](#)

Notice: Continuing Education Rules – proposed amendments

IIROC is proposing amendments to Rule 2650 – Continuing Education Requirements for Approved Person – to address feedback we received following the implementation of our revised continuing education program. Comments should be made in writing and delivered by August 26, 2019. [Read the notice.](#)

Rule Notice: Fully-Paid Securities Lending

This Notice provides guidance to Dealer Members on IIROC's expectations for implementing a fully-paid securities lending program. [Read the guidance.](#)

New Webcast: IIROC's Compliance Priorities and Updates



This webcast highlights key initiatives that we will roll out in the next 12 months, as well as compliance tips and pointers. [Read the notice](#) / [Click here to register.](#)

Reminder: Proposed Amendments For Consolidated Enforcement, Examination and Approval Rules

The deadline for feedback on the proposed amendments to our Consolidated Enforcement, Examination and Approval Rules is fast approaching. Comments should be made in writing and delivered by July 24, 2019. [For more information.](#)



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