

February 16, 2021

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of February 15-19, 2021

There are no hearings scheduled this week.

NOTICES

- **Elizabeth St-James:**
[Penalty Decision](#)
- **Alvin Rupert Jones:**
[Penalty Decision](#)
- **Bonnie Wyatt:**
[Discipline Hearing](#)
- **Dean Martin Jenkins:**
[Penalty Hearing](#)
- **Naghmeh Sabet:**
[Settlement Accepted](#)
- **Philippe Bélisle:**
[Set Date Appearance](#)

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 re-issues DIY Investor Bulletin to help retail investors protect themselves

With over two million Do-It-Yourself (DIY) accounts opened in Canada in 2020, and increased market volatility, IIROC re-issued its Investor Bulletin to help DIY investors make more informed decisions to protect themselves. Since the start of the pandemic, there has also been a significant surge in inquiries and complaints to IIROC's Complaints & Inquiries team. Between March 2020 and January 2021, DIY investors' inquiries and complaints are up by 270% compared to the same period in 2019. In response, IIROC, the pan-Canadian regulator, has reissued its Investor Bulletin - "[Is a DIY account right for me?](#)"

[For more information](#)

Joint statement from the Canadian Securities Administrators and the Investment Industry Regulatory Organization of Canada on the Recent Market Volatility

IIROC and the CSA are closely monitoring how extreme price movement of certain stocks may be contributing to volatility in Canada's capital markets. We will take appropriate regulatory action to protect investors if we identify that abusive or manipulative trading activity may be taking place. With strong market oversight and surveillance infrastructure in place, Canadian regulators are working together closely to protect investors while ensuring that the markets operate in an orderly manner and with integrity. [Read our news release](#)



Investor alert: fraudsters misrepresenting themselves as IIROC-regulated investment dealers

The Investment Industry Regulatory Organization of Canada (IIROC) is warning Canadian investors not to be fooled by fraudsters attempting to operate as legitimate individuals regulated by IIROC.

IIROC has learned of online advertisements on social media and other websites, targeting Canadian communities, making false claims as IIROC-accredited professionals in binary options and digital asset management. [For more information](#)



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.

**Try IIROC
AdvisorReport
today.**

