

July 6, 2020

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of July 6-10, 2020

- **David McLellan:**
[Motion Decision / Penalty Hearing](#)

NOTICES

- **Richardson GMP Limited and Blair Robert Pytak :**
[Settlement Accepted](#)
- **Francis O'Brien:**
[Appeal Decision](#)
- **Dean Martin Jenkins:**
[Discipline Hearing](#)
- **Shirley Locke:**
[Penalty Hearing](#)
- **Justin Lin:**
[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 FY 2021 Priorities chart path ahead during these challenging times

IIROC published its 2021 Priorities outlining areas of focus where the pan-Canadian regulator will take action to enhance investor protection and promote healthy capital markets in the current environment of uncertainty related to the COVID-19 pandemic.

In addition to responding to the current landscape, the 2021 Priorities support the mission, vision and strategies IIROC has previously set out in its three-year Strategic Plan, and they build on IIROC's ongoing oversight of investment firms and capital markets.

[Read the news release.](#)



Client Identifiers Workshop for Listed Securities



The Client Identifiers Amendments for Listed Securities will come into effect on July 26, 2021. To help you understand the compliance and implementation issues associated with the Amendments, IIROC is pleased to invite you to attend an online workshop, which would be held in two parts:

- Part 1 – Dealer Compliance on July 22, 2020 from 2:00-3:30 pm (EST)
- Part 2 – Technical Compliance on August 26, 2020 from 2:30-4:00 pm (EST).

[To register, please click here.](#)

IIROC calls for consolidation of self-regulators to better serve and protect Canadian

Have you read IIROC's latest proposal?

"Improving Self-Regulation for Canadians" outlines the benefits of bringing together IIROC and the MFDA as two divisions of a new self-regulatory organization.

[Read the news release.](#)



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