

November 2, 2020

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of November 2 - 6, 2020

- **Yonathan Chanoch Shields:**
[Discipline Hearing](#)

NOTICES

- **Gordon Albert Malic:**
[Motion Decision](#)
- **Paul Brum:**
[Settlement Accepted](#)
- **Merlyn Black:**
[Settlement Accepted](#)
- **Bardya Ziaian:**
[Motion Decision](#)
- **Dwight Cameron Mann:**
[Penalty Decision](#)
- **Aaron Jay Rowlatt:**
[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.

OSC Dialogue 2020: What comes next?



OSC Dialogue will take place virtually on November 4, 2020. This year's conference features prominent financial industry leaders examining the impact of the COVID-19 pandemic on the Canadian financial landscape. Speakers will discuss the role of regulation in rebuilding the economy, supporting growth and advancing investor interests. The virtual conference will include important conversations about accelerating innovation, strengthening capital formation and reducing regulatory burden in Ontario's capital markets. The [agenda](#) and list of speakers are available on the OSC's website.

October is Investor Education Month

IIROC wants to help you stay informed in October and throughout the year.

For Investor Education Month, IIROC released a new Investor Bulletin - "[Is a DIY \(Do-It-Yourself\) account right for me?](#)" This bulletin highlights key questions to determine whether DIY investing is right for you, as well as common investment mistakes made by new investors.

Considering DIY investing? IIROC joins Moolala: Money Made Simple with personal finance expert Bruce Sellery for a discussion about whether DIY investing is right for you. Listen [here](#).

CanAge Conversations



To celebrate Canada's 30th anniversary of National Seniors Day, IIROC's Vice-President of Public Affairs and Member Education Services, Lucy Becker, spoke at CanAge Conversations. The webinar focused on the compass point "E" - Economic Security. Watch the recording of the expert panel discussion: <https://youtu.be/Oa66iewUBq>



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.

