

## ENFORCEMENT

### HEARINGS

For the week of April 17-21

- **April 18: David Claude Bugden**  
[Settlement Hearing](#)

### NOTICES

- **JitneyTrade Inc.:**  
[Settlement Accepted](#)
- **Paul Sian:**  
[Settlement Hearing](#)
- **Blaine Albert Kunz:**  
[Penalty decision](#)
- **Nelson Turcotte:**  
[Initial Appearance to set a hearing date](#)
- **Jayanth Noronha:**  
[Penalty Decision](#)

## 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.

## New Webcast—Proposed Registration Changes

This webcast provides helpful information on the following topics contained in the Plain Language Rule Book 2000 Series and related forms and guidance:

- ownership changes and changes to the Investor Application Form and Investor Notification Form
- re-introduction of the Associate Portfolio Manager and Portfolio Manager category of approval and the transition to those categories
- changes to the requirement to appoint an acting Chief Compliance Officer and acting Chief Financial Officer
- Supervisor changes - from a proficiency and experience perspective
- proficiency and exemption related matters
- Continuing Education
- National Registration Database

For more [information or to register](#). A [full list of available CE accredited webcasts](#) is available on our website.

## IIROC finalizes rule relating to personal financial dealings

On April 6, IIROC announced that employees of IIROC-regulated firms will not be able to act as a power of attorney, trustee or executor for their clients, unless they are related to the client and, for certain registrants, have the firm's approval. Firms have six months to unwind existing arrangements and this [rule requirement](#) will take effect on **October 6, 2017**.

IIROC recognizes that under some circumstances unwinding existing arrangements that are complex may be challenging for Dealer Members. IIROC will assist firms in these situations on a case-by-case basis.

[For more information](#).



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*Educational background/Disciplinary history and more.*

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