

December 4, 2017

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of December 4 - 8, 2017

- **National Bank Financial:**
[Settlement Hearing](#)

NOTICES

- **Kevin Frederick Price:**
[Settlement Hearing](#)
- **Christopher Rutledge:**
[Settlement Accepted](#)
- **Michael Ballanger:**
[Appearance to set a hearing date](#)
- **Andrew Paul Rudensky :**
[Appearance to set a hearing date](#)

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.

Continuing Education (CE): The end of the calendar year marks the end of one of the required CE education cycles. Check out [IIROC's Webcast Catalogue and Program Details](#)

Rule Notice: Continuing Education Requirements for Approved Persons



The Canadian Securities Administrators have approved IIROC's Rule 2650 – Continuing Education Requirements for Approved Persons (the CE Rules). Effective Jan 1, 2018, the CE cycle will move from a three-year cycle to a two-year cycle.

Two transitional rules have been added:

- Participants who fail to complete CE requirements for the cycle from Jan. 1, 2015, to Dec. 31, 2017, will be subject to current penalties only. Those who fail to complete current cycle requirements by June 20, 2018, will be automatically suspended.
- Participants can carry forward 20 hours of a single professional development (PD) course from the current CE cycle (ending Dec. 31, 2017) into the next cycle (starting Jan. 1, 2018).

[For more information](#)

New Webcast: IIROC's Regulatory Priorities

In September, IIROC held its annual Compliance Conference in Toronto, where our executive management team discussed our regulatory priorities. This webcast of that session provides a candid and engaging review of the critical issues the Enforcement, Market Regulation, Member Regulation and the Registration Departments are currently addressing. The completion of this webcast will earn you 1.0 hours of IIROC Continuing



Membership Development Notice: IIROC welcomes [SP Wealth LP](#) as a new member, effective November 30, 2017



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