

June 10, 2019

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of June 10-14, 2019

There are no hearings scheduled this week.

NOTICES

- **Shane Dubin:**
[Settlement Accepted](#)
- **Joseph Marcel Denis Rochon:**
[Appearance to set a hearing date](#)
- **Philip Winer:**
[Settlement Hearing](#)
- **Christopher John Everest:**
[Settlement Accepted](#)
- **Michael Francis O'Brien:**
[Motion Decision](#)
- **Sheron Crane (a.k.a. Sheron Lau):**
[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 announces three-year Strategic Plan and FY 2020 Priorities



We are building on our goals to enhance investors protection and promote healthy capital markets in Canada.

IIROC is committed to effective and efficient regulation. The new Strategic Plan reflects the significant transformation underway across the industry and highlights IIROC's commitment to adapting to new market realities while ensuring organizational readiness for future change.

[Read our news release.](#)

IIROC and FINTRAC enhance cooperation to protect against money laundering

We signed a new Memorandum of Understanding (MOU) with FINTRAC to better protect against money laundering and terrorist financing while reducing the compliance burden on IIROC-regulated investment firms.



By sharing the information we collect and by working cooperatively, we will streamline the compliance burden on the firms IIROC regulates while maintaining investor protection.

[Read the news release.](#)

Saskatchewan passes new securities legislation to strengthen investor protection



Saskatchewan's Securities Amendment Act received Royal Assent, giving us the ability to enforce through the courts fines against individuals that engage in misconduct. By passing this legislation, Saskatchewan is sending a strong message of deterrence to potential wrongdoers. Saskatchewan joins eight provinces and three territories where IIROC has enhanced fine collection authority.

[Read the news release.](#)



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Educational background/Disciplinary history and more.

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