

November 26, 2018

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of November 26-30, 2018

- **John Manuel Reyes:**
[Settlement Hearing](#)
- **Paul Michael Karpiuk:**
[Settlement Hearing](#)

NOTICES

- **Troy Robert Nagy:**
[Settlement Accepted](#)
- **Rodney Joseph Nieswandt:**
[Penalty Decision](#)
- **Richard Barkwell:**
[Settlement Hearing](#)
- **Raymond James Ltd.:**
[Settlement Accepted](#)
- **TD Waterhouse Canada Inc.:**
[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.

New Event: Tips for Traders in Montreal

IIROC will be hosting a “Tips for Traders” event on November 29, 2018. The event will address topics such as new developments in products, trading technologies and the challenges of an increasingly globalized industry.

Claudyne Bienvenu, Vice-President of Québec and Atlantic Canada (pictured) and Victoria Pinnington, Senior Vice-President of Market Regulation, will making opening remarks. Advisors in attendance will earn 1.5 hours of IIROC Continuing Education Compliance Credits. [For more information](#) / [To Register](#)



IIROC to Begin Publishing Bankers' Acceptance Rates



Effective January 2019, IIROC will begin publishing transaction-based one-and three-month Bankers' Acceptance (BA) rates. These rates will be published on the IIROC website on a delayed basis, for informational purposes only, and will replace the BA rates published on the Bank of Canada website. Further details, including the calculation methodology, will be released by early December. [For more information](#)

National Survey: Investors Support Proposed IIROC Enforcement Alternatives

A new survey for IIROC shows the majority of Canadian investors support our [proposals](#) for alternatives to enforcement. [The survey](#) of 1,011 investors across Canada was part of IIROC's public consultation to gather input from a variety of stakeholders on its proposals, which were published earlier this year. [For more information](#)

Reminder: Delivery of Documents During Canada Postal Strike

During the Canada Post rotating strike, IIROC-regulated firms should take alternative steps for those documents normally delivered by post. IIROC rules do not provide exemptions to the various document delivery requirements. [For more information](#)



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your Advisor**

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