

February 3, 2020

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of February 3-7, 2020

There are no hearings scheduled this week.

NOTICES

- **Yonathan Chanoch Shields:**
[Discipline Hearing](#)
- **Patrick John Lilly:**
[Appearance to set a hearing date](#)
- **Zubin Driver:**
[Settlement Hearing](#)
- **Sean Michael Nother:**
[Discipline Hearing](#)
- **Paul Barreca:**
[Settlement Accepted](#)
- **Gravitas Securities 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.

Former Nova Scotia Public Service Commissioner joins IIROC Board

IIROC welcomes Victoria Harnish to its Board for a two-year term. Ms. Harnish is a former Public Sector Executive, having served in a number of high-profile positions in her extensive career with the Province of Nova Scotia.



As an Independent IIROC Board member, Ms. Harnish will draw upon her depth of expertise in organizational renewal, revenue and expenditure planning, and policy analysis and implementation – among other invaluable strengths. Her unique insight into government decision-making and public policy will be a significant asset to IIROC. Another asset will be Ms. Harnish's Eastern Canadian perspective, which is an important component for a self-regulatory organization that operates in every jurisdiction in Canada and therefore strives for Board representation across various geographic regions.

[Ms. Harnish's full bio.](#)

[Meet our Board of Directors.](#)

New Webcast: Recording of the Tips for Traders Montreal session



Keeping up on developments in today's marketplace is a challenge. New developments in products, trading technologies and the increasing globalization of our industry make for a landscape that is constantly changing. To help you understand the compliance issues associated with this environment, IIROC's Member Education Services Department is pleased to

announce the release of a Webcast of the Tips for Traders session held on November 28, 2019 in Montreal.

[For more information](#) / [Click here to register.](#)

Rule Notices

- [Additional Guidance Respecting Securities Covered by Single-Stock Circuit Breakers](#)



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Educational background/Disciplinary history and more.

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