

July 9, 2018

IIROC Weekly Update

* **Please note:** Weekly Updates will be published by-weekly during the month of July and August.

ENFORCEMENT

HEARINGS

For the week of July 9-20, 2018

No hearings scheduled

NOTICES

- **Remo Costa:**
[Adjournment](#)
- **Robert Edward Sole:**
[Discipline decision – Liability and Penalty](#)
- **Michael Ballanger:**
[Settlement Accepted](#)
- **Edward Peter Bodnarchuk:**
[Motion Decision](#)
- **Kenneth Edward Smith:**
[Penalty Decision](#)
- **Martin Wendall Matthews and Arnold Ward Francis:**
[Settlement Accepted](#)

IIROC proudly celebrated its 10th anniversary at the TSX market close



The Investment Industry Regulatory Organization of Canada (IIROC) marked its 10th Anniversary as a public interest regulator protecting Canadian investors and supporting healthy capital markets by closing the market on June 28, 2018. IIROC President and CEO Andrew Krieglger joined staff from across the organization in marking the milestone for the national self-regulatory organization that oversees all Canadian investment dealers and their trading activity in Canada's debt and equity markets. Click [here](#) to view video.

Notice: Proposed Provisions Respecting Client Identifiers

IIROC published for comment proposed amendments to the Universal Market Integrity Rules (UMIR) and the Dealer Member Rules (DMR) that would require Dealer Members to report client identifiers to IIROC.

[For more information](#)

Comments on the Proposed Amendments are due by September 26, 2018.



Important Reminder About the "Regulated by IIROC" Logo



Effective July 1, 2018, each IIROC-regulated firm must include the IIROC official logo on the front of each account statement that is sent to clients.

You can get the "Regulated by IIROC" logo directly from our [website](#). Please refer to the [IIROC Membership Disclosure Policy](#) for specifications.



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