

May 19, 2017

ENFORCEMENT

HEARINGS

For the week of May 22 –26

No hearing scheduled for this week

NOTICES

- **Hampton Securities Ltd.:** [Settlement Hearing](#)
- **Darryl Joseph Yasinowski:** [Initial Appearance to set a hearing date](#)
- **Paul Sian:** [Settlement Accepted](#)
- **George Pedersson:** [Settlement Accepted](#)
- **Daniel Desautels:** [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.

Regulator requests initial comments and proposes working group

IIROC Announces Extensive Consultation on Client Identifiers

IIROC announced this week an extensive consultation on ways to expand the use of client identifiers with the goal of enhancing market integrity, protecting investors and addressing electronic trading risks while minimizing impact on the investment industry.

IIROC's consultation will include both a minimum of two rounds of public comment on the [proposed rule amendments](#) and the formation of a stakeholder working group to provide further input and to discuss alternative approaches.

[For more information.](#)

Provincial amendments send strong deterrent message

On May 17, Bill 13: Securities Amendment Act, 2017 passed third reading in the Alberta legislation. IIROC, Prosper Canada and CARP praised the Government for introducing legislation to strengthen investor protection by giving IIROC more effective tools to investigate and prosecute those who harm investors.

[Click here to view press conference](#)



IN THE NEWS

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[‘Committed to investor protection’: IIROC gets investigative powers boost with new Alberta legislation](#)



[Securities investigations would be made easier by new Alberta law](#)

New Rule Notices

[Amendments to Dealer Member Rules and Form 1 relating to the futures market segregation and portability customer - protection regime](#) / [Related Documents](#)



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