

February 4, 2019

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of February 4-8, 2019

- **Carlos Vargas:**
[Discipline Hearing](#)

NOTICES

- **Colin George Graham Baird:**
[Settlement Hearing](#)
- **Remo Costa:**
[Disciplinary Decision – Liability](#)
- **Carlos Vargas:**
[Discipline Hearing](#)
- **Brian Anthony Peters:**
[Appearance to set a hearing date](#)
- **Paul Michael Karpiuk:**
[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 In the News:

Last week, **The Globe and Mail** featured IIROC's efforts to get greater legal authority to protect investors from wrongdoers. The article highlighted IIROC's aim to ensure a consistent level of investor protection across Canada by working with governments to close gaps in jurisdictions where wrongdoers may evade punishment. [Click here to read the article](#)



IIROC releases Compliance Priorities Report for 2018-2019



IIROC recently published its annual [Compliance Priorities Report](#), which reviewed the issues and trends we identified over the past year and provides a useful preview of areas of regulatory focus for this coming year. [For more information](#)

Webcast: The Role of Data Science in the Future of Market Regulation

This webcast is a recording of a talk IIROC's Vice President of Analytics, Jamil Abou Saleh, and IIROC's Vice President of Market Surveillance, Alex Taylor, gave at our annual conference on how we are leading efforts to incorporate data science into market regulation. [For more information](#) / [Click here to register](#)



Video: Life Cycle of a Trade



IIROC has produced a short animated video explaining what goes on behind the scenes when stocks, bonds and other securities are bought and sold in Canada. It's a great resource to share with clients or post on your website. *Click on image for video*



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