

December 18, 2017

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of December 18-22, 2017

- **Brenda Louise Asplund:**
[Settlement Hearing](#)
- **Anne Milne:**
[Settlement Hearing](#)

NOTICES

- **Edward Peter Bodnarchuk:**
[Adjournment](#)
- **Shafique Hirani:**
[Appearance to set a hearing date](#)
- **Andrew Paul Rudensky:**
[Discipline Hearing](#)
- **Michael Ballanger:**
[Discipline Hearing](#)

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.

Continuing Education (CE)

Reminder: The end of the calendar year also marks the end of one of the required CE education cycles.

Investment advisors registered with IIROC must complete mandatory continuing education courses to stay up-to-date on financial products, industry trends and IIROC rules.

Here's a list of our most popular webcasts in 2017:

[Dealing with Senior Clients](#)

Examines some of the issues that firms and advisors face when dealing with senior clients, as well as highlight useful practices and resources that are available to advisors and their clients. [For more information](#)

[The Use of Social Media in the Investment Industry](#)

Addresses several relevant social media topics, including IIROC rules and guidance related to the use of social media and results of IIROC's review of social media practices. [For more information](#)

[Automated Advice and Suitability](#)

Covers the regulatory aspects of automated advice, the impact on product and account service offerings, as well as any pitfalls/concerns associated with the product offering.

[For more information](#)

[Conflicts of Interest and Best Interest](#)

Recorded at IIROC's 2016 Compliance Conference held in Toronto. It covers the CSA consultation on best interest, IIROC's Rule 42 – Conflicts of Interest, and the dealer member survey on conflicts of interest & compensation. [For more information](#)

[Proposed Registration Changes](#)

Provides helpful information on proposed registration changes contained in the Plain Language Rule Book 2000 Series and related forms and guidance. [For more information](#)

Check out [IIROC's Webcast Catalogue](#) for more webcasts.



Connect with IIROC on social media

Check up on your Advisor

FIND OUT: What services your advisor is approved by IIROC to provide.

Educational background/Disciplinary history and more.

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