

October 9, 2018

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of October 8-12, 2018

- **Joseph Debus:**
[Discipline Hearing](#)

NOTICES

- **Shafique Hirani:**
[Settlement Accepted](#)
- **Pei-Ying Patty Chen:**
[Settlement Agreement](#)
- **CIBC World Markets Inc. and Robert Trickey:**
[Motion Decision](#)
- **Alexander George Mitchell:**
[Settlement Accepted](#)
- **Raphaël Vermette:**
[Settlement 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.

Investor Education Month & World Investor Week



This month, Canadian securities regulators are holding a variety of activities designed to help investors gain a greater understanding of how to grow and protect their investments. To see an outline of events from province to province, click [here](#).

Investor can also check out [IIROC's online investor resource centre](#). It features a full suite of investor education tools and resources, including bulletins that advisors can share with their clients

- [What should you know about your investment advisor?](#)
When it comes to decisions about investing our hard-earned savings, many of us rely on the knowledge and advice of an investment advisor. That's a lot of trust to put in anyone so it makes sense to first ask some questions when choosing your advisor.
- [Risk and its impact on your investments.](#)
Learn about some of the different types of risk associated with investments.
- [Ensuring your investments are right for you.](#)
Learn what to expect when working with an advisor.
- [Borrowing to Invest](#)
What you need to know about borrowing to invest.

2018-19 IIROC Board of Directors Elected

At our Annual General Meeting on Sept. 25th, nine individuals were elected or re-elected to serve on the IIROC Board of Directors.



The Board appointed Paul Allison as its new Chairman and Catherine Smith as Vice-Chair. Click [here](#) for more information.



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.

Try IIROC AdvisorReport today.

