

September 10, 2018

# IIROC Weekly Update

## ENFORCEMENT

### HEARINGS

For the week of September 9-14, 2018

- **CIBC World Markets Inc. and Robert Trickey:**  
[Settlement Hearing](#)
- **Alexander George Mitchell:**  
[Settlement Hearing](#)
- **Edward Peter Bodnarchuk:**  
[Penalty Hearing](#)

### NOTICES

- **Elizabeth St-James:**  
[Motion](#)
- **Carlos Vargas:**  
[Appearance to set a hearing date](#)
- **Aidin Sadeghi:**  
[Settlement Accepted](#)
- **Pei-Ying Patty Chen:**  
[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.

## IIROC Annual Report for 2017-18

The Investment Industry Regulatory Organization of Canada (IIROC) has released its Annual Report for 2017-18, highlighting our progress in the second year of our three-year strategic plan. The plan's goal is to better protect investors and support healthy Canadian capital markets.

Among this year's highlights:

- We have been working collaboratively with the CSA in the development of their client-focused reforms.
- We made significant progress advocating for additional legal authority to strengthen the effectiveness of our enforcement actions.
- We are planning a second self-assessment survey and two tabletop cybersecurity exercises in fiscal 2019.
- We are in the process of introducing an enhanced technology platform for market surveillance and trading review and analysis that will allow for cross-asset and crossplatform views of trading on Canadian markets.

IIROC's full Annual Report for 2017-2018 is available in [web format](#) and as a downloadable [PDF](#) on the [IIROC website](#).



## Event: ASC Connect 2018



On October 9th, 2018, the Alberta Securities Commission will hold its annual conference, bringing together hundreds of market participants to discuss the critical issues and trends affecting the capital markets. The conference includes a full day of informative and interactive plenary sessions led by senior ASC leaders and industry experts, with a range of topics from our expanding enforcement toolbox on how technology is driving change in the capital markets. Click [here](#) for more information.



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