

April 6, 2020

# IIROC Weekly Update

## ENFORCEMENT

### HEARINGS

For the week of April 6-10, 2020

*There are no hearings scheduled this week.*

### NOTICES

- **Thomas William Dunn:**  
[Settlement Accepted](#)
- **Patrick John Lilly:**  
[Discipline Hearing](#)
- **Alvin Rupert Jones:**  
[Discipline Hearing](#)
- **Dean Martin Jenkins:**  
[Appearance to set a hearing date](#)
- **TD Waterhouse Canada Inc.:**  
[Discipline decision – Liability and Penalty](#)

## 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.

## Important COVID-19 Update

Capital market participants, including IIROC-regulated investment firms, as confirmed by provinces so far in Ontario, Quebec and British Columbia, will be able to continue to operate as an essential service.

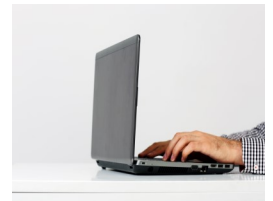
[Find out more.](#)

## COVID-19 FAQs

To support transparency and help IIROC Dealer Members with compliance and the protection of their clients, IIROC has compiled FAQs we received relating to issues associated with the coronavirus (COVID-19) pandemic. Through these FAQs, IIROC is providing guidance and information regarding situations where temporary relief from the rules identified may be available.

[Read the FAQs.](#)

IIROC is closely monitoring the situation and will determine if additional relief or guidance is necessary and these FAQs will be updated accordingly. As coronavirus-related risks decrease, IIROC Dealer Members should expect to return to meeting any regulatory obligations for which relief has been provided.



## IIROC launches COVID-19 microsite for advisors and investment firms



As a part of its continuing commitment to help firms and advisors during this challenging time, IIROC launched a new COVID-19 microsite with our latest updates.

<https://www.iroc.ca/industry/COVID-19/Pages/default.aspx>

We encourage you to bookmark this important resource, as a quick and handy reference in your toolkit.



**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.

