

October 28, 2019

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of October 28 - November 1, 2019

- **RBC Dominion Securities, Scotia Capital Inc., and TD Securities Inc.:**
[Settlement Hearing](#)

NOTICES

- **Francesco Coccimiglio:**
[Settlement Accepted](#)
- **BMO Nesbitt Burns Inc.:**
[Settlement Accepted](#)
- **Shirley Locke:**
[Discipline Hearing](#)
- **TD Waterhouse Canada Inc.:**
[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.

Have You Had Your Say?

IIROC is looking for feedback on this newsletter. It's a great opportunity for you to tell us what you like, don't like, and want more of from our Weekly Update. Please [click here](#) to have your say.

New Notices:

- [Amendments Respecting Client Identifiers for Reportable Debt Transactions](#)
- [Housekeeping amendments to Form 1 for use in, and consistency, with the Plain Language Dealer Member Rules Rule Book](#)
- [Proposed Amendments Respecting Disclosure of Information by Ombudsman Service to IIROC](#)

IIROC Calling On Investment Firms to Revise Contracts That Exclude or Unreasonably Limit Their Liability to Clients



IIROC recently published [Guidance](#) advising firms to review their retail client account agreements and to change or remove clauses that absolve them of liability, or that are inconsistent with regulatory obligations.

[Read the News Release.](#)

New Webcast: Cybersecurity Tips for Advisors



This short webcast covers cybersecurity for advisors. Topics discussed including why and how a criminal would target an advisor and some of the ways in which you can protect yourselves, your clients and your firms from such an attack.

[For more information](#) / [Click here to register.](#)



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Educational background/Disciplinary history and more.

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