

April 5, 2021

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of April 5-9, 2021

- **Joseph Anthony Thomson and Douglas Gerald McRae:**
[Appearance to set a hearing date](#)
- **Bonnie Wyatt:**
[Settlement Hearing](#)

NOTICES

- **Mohammad Movassaghi:**
[Discipline Hearing](#)
- **Edward Ho Rha:**
[Appearance to set a hearing date](#)
- **Alfred Drose:**
[Discipline Hearing](#)
- **Douglas John Eley:**
[Review Decision](#)

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](#)

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IIROC issues Fundamentals of Technology Risk Management guidance

As a part of our commitment to helping firms with compliance and supporting industry transformation, IIROC published the Fundamentals of Technology Risk Management guidance.



The objective of this practical guide is mainly small and medium-sized firms – those without access to a formal enterprise risk management framework – take the first steps to assess and manage technology risk.

The guide identifies steps a firm can take to develop a process to manage technology risk, and to continue evolving that process as new technology enters the market. The guidance provides a framework for firms to assess their technology risk across the organization. From suggesting controls in all areas of technological use, to a risk register that can expand with a firm's growth, Fundamentals of Technology Risk Management provides building block resources to firms. [Find out more.](#)

Canadian securities regulators outline regulatory framework for compliance for crypto asset trading platforms



The Canadian Securities Administrators and IIROC published a notice outlining securities law requirements that apply to crypto asset trading platforms (CTPs) and how they may be tailored by regulators for the CTPs business model. The notice provides guidance on securities law requirements applicable to platforms whether trading crypto assets that are securities or derivatives, or contractual rights or claims to underlying crypto assets such as bitcoin or ether. The notice also outlines interim approaches that may be available to CTPs, that are intended to foster innovation and provide flexibility, while ensuring the CTPs operate in an appropriately regulated environment. [Read the news release](#)

Meet the new members of our Crypto-Asset Working Group. With this new group of diverse members, we continue to deepen our understanding of crypto-assets.

[Read the news release](#)



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