

February 12, 2018

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of February 12-16, 2018

No hearing scheduled for this week

NOTICES

- **Sean St-John:**
[Settlement Accepted](#)
- **Edward Peter Bodnarchuk:**
[Motion Decision](#)
- **Kenneth Edward Smith:**
[Appearance to set a hearing date](#)
- **Jean-Louis Trudeau:**
[Penalty Hearing](#)
- **Alberto Tassone:**
[Penalty Decision](#)
- **Nicholas Karakolis:**
[Settlement Accepted](#)

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.

Continuing Education (CE)

Requirements for Designated Supervisors

On January 1, 2018, our CE Rules came into effect. The CE Rules added continuing education requirements for designated Supervisors (non-trading Supervisors).

IIROC is requesting Dealer Members review the category of each Approved Person who is approved as a designated Supervisor and provide IIROC with a list of these individuals.

Dealer Members will have until March 31, 2018 to provide this information.

[For more information](#)



New Webcast: IIROC Compliance, Trading Review and Analysis and Enforcement Presentation from the 2017 Compliance Conference



At our September 2017 Compliance Conference, IIROC provided a presentation covering initiatives underway in the Compliance, Trading Review and Analysis and Enforcement areas. This webcast is a recording of that session and provides an interactive and engaging review of the critical issues.

[For more information](#) / [Register for this webcast](#)

IIROC Study of Speed Segmentation on Exchanges: Competition for Slow Flow

An IIROC study, in collaboration with the Bank of Canada, examined the impact of the redesign of TSX Alpha Exchange (Alpha), which adopted a suite of changes including a speed bump in 2015. The study investigates segmentation, market quality measures, and differences in routing behaviour around the Alpha redesign. [To read the study](#)



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**Check up on
your Advisor**

FIND OUT: What services your advisor is approved by IIROC to provide.

Educational background/Disciplinary history and more.

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