

February 24, 2020

# IIROC Weekly Update

## ENFORCEMENT

### HEARINGS

For the week of February 24-28, 2020

- **Zubin Driver:**  
[Settlement Hearing](#)

### NOTICES

- **Laurentian Bank Securities:**  
[Settlement Hearing](#)
- **Elizabeth St-James:**  
[Discipline Decision - Liability](#)
- **Douglas John Eley:**  
[Discipline decision - Liability](#)
- **Joseph Marcel Denis (Denis) Rochon:**  
[Settlement Accepted](#)
- **Christian Desmarais:**  
[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 launches Cybersecurity microsite

As a part of its continuing commitment to help firms and advisors with cybersecurity preparedness, IIROC is pleased to launch a new Cybersecurity microsite.

<https://www.iiroc.ca/industry/cybersecurity/Pages/default.aspx>



We encourage you to bookmark this important resource, as a quick and handy reference in your toolkit when looking for information for your business or for your clients. You'll find quick links to areas such as:

- IIROC rules on mandatory cybersecurity incident reporting;
- Site visits;
- Webinars; or
- Guides and resources to help protect against cyber threats and attacks.

IIROC will continue to work with you to help establish and implement effective risk controls and response plans, in order to keep safe the data belonging to your clients and to you. You can always contact IIROC for more information.

### IIROC District Councils - Call for Nomination

The Nomination Subcommittee of each IIROC District Council in Canada invites Dealer Members to nominate candidates for election to the District Council in each province where the Dealer has offices.

[For more information](#)

### IIROC Issues 2020 Compliance Report

IIROC issued its latest Compliance Report highlighting its compliance priorities in the year ahead.

[Read the news release for highlights from the Report.](#) / [Read the Compliance Report.](#)



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