

July 8, 2019

IIROC Weekly Update

ENFORCEMENT

HEARINGS

For the week of July 8-12, 2019

There are no hearings scheduled this week.

NOTICES

- **Christopher Mark Reid and David John Reid:**
[Settlement Hearing](#)
- **Douglas John Eley:**
[Discipline Hearing](#)
- **Michael Alexander McKee:**
[Appearance to set a hearing date](#)
- **Dwight Cameron Mann:**
[Discipline Hearing](#)
- **Jacques Maurice:**
[Settlement Hearing](#)
- **Remo Costa:**
[Decision on 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](#)

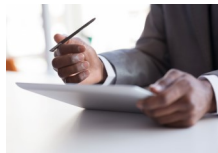
Stay connected and sign up to [ePublications](#) for customizable alerts on new notices, media releases, speeches and policy updates sent directly to your email.

Rule Notice: Fully-Paid Securities Lending

This Notice provides guidance to Dealer Members (Dealers) on IIROC's expectations for implementing a fully-paid securities lending program (FPL program).

[Read the guidance.](#)

Survey: Majority of Canadian investors support measures to protect vulnerable investors



The results are in! We recently released the findings of a new [national survey](#) showing Canadian investors resoundingly support measures to safeguard vulnerable investors and protect them from financial exploitation. [Read the news release.](#)

New Webcast: IIROC's Compliance Priorities and Updates

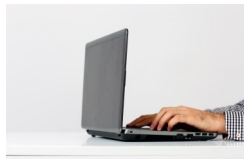
This webcast highlights key initiatives that we will roll out in the next 12 months, as well as compliance tips and pointers.

The presenters are: David Wright, Senior Counsel in the Business Conduct Compliance Department; Kevin McCoy, Vice-President of Market Policy and Trading Conduct Compliance, and Petra Willis, Manager of Trading Review and Analysis.

[Read the notice](#) / [Click here to register.](#)



Reminder: Proposed Amendments For Consolidated Enforcement, Examination and Approval Rules



The deadline for feedback on the proposed amendments to our Consolidated Enforcement, Examination and Approval Rules is fast approaching. Comments should be made in writing and delivered by July 24, 2019.

[For more information.](#)



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