

January 7, 2019

# IIROC Weekly Update

## ENFORCEMENT

### HEARINGS

For the week of January 7-11, 2019

*There are no hearings scheduled this week.*

### NOTICES

- **Joseph Debus:**  
[Motion Decision](#)
- **Ali Reza Sultani:**  
[Review Decision](#)
- **Raphaël Vermette:**  
[Settlement Accepted](#)
- **Raymond James Ltd.:**  
[Settlement Accepted](#)
- **Richard Hewat:**  
[Settlement Hearing](#)
- **Andrew Paul Rudensky:**  
[Review Requested](#)

## 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.

## New Webcast: The Role of Data Science in the Future of Market Regulation



This webcast is a recording of a talk IIROC's Vice President of Analytics, Jamil Abou Saleh, and IIROC's Vice President of Market Surveillance, Alex Taylor, gave at our annual conference on how we are leading efforts to incorporate data science into market regulation.

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

## New Administrative Notices:

### Industry Business Continuity Planning Test

IIROC has scheduled the next biennial industry Business Continuity Planning (BCP) test for October 26, 2019. The test scenario is for IIROC dealer member participants to test out of their production/primary data processing sites while the service provider participants will be testing out of their Disaster Recovery (DR) data processing sites. [For more information](#)

### IIROC Proficiency Committee – Call for Applications

IIROC seeks applications for membership on the Proficiency Committee. This Committee replaced the Education and Proficiency Committee and Continuing Education Subcommittee in 2016. The mandate of the Committee is to advise IIROC on matters relating to proficiency policy and operations. This includes matters relating to licensing standards and continuing education. [For more information](#)

### Regulatory Filing Deadlines

IIROC has released the Monthly Financial Report (MFR) filing deadlines for 2019. They are based on a 20 business day reporting cycle and take into consideration Canadian and provincial statutory holidays. [For more information](#)



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