

December 5, 2014

ENFORCEMENT CORNER

HEARINGS

For the week of December 8 — 12:

- **December 9: Glenn Taggart**
[Appearance to set a hearing date](#)

NOTICES

- **Marco Myatovic and Doreen Lowe:**
[Hearing and Review Decision](#)
- **Industrial Alliance Securities Inc.:** [Settlement Accepted](#)
- **Douglas John Eley:**
[Discipline decision—Liability and Penalty](#)
- **Milad Nassif:**
[Settlement Accepted](#)
- **Daryl William Wood:**
[Settlement Accepted](#)

INVESTOR RESOURCES

Questions, inquiries or complaints?
Call IIROC toll-free: 1-877-442-4322

- [IIROC Investor Brochures](#)
- Webcast: [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 IIROC WEBCAST

Recording of Market Structure and Best Execution Panel discussion

IIROC's latest webcast on the Market Structure and Best Execution panel discussion recorded at our Annual Compliance Conference held in Toronto on September 18, 2014, is now available.

For more information, click [here](#).

(The webcast is open only to members and their employees.)

IIROC mulls advisor education reform



“IIROC launched a public consultation in July regarding how advisors and other industry personnel should be educated and licensed.” **Investment Executive** featured responses to the consultation.
[Read more.](#)



Connect with IIROC on social media

IIROC DECALS FOR DEALER MEMBERS

We have produced double-sided stickers for Dealer Members to promote their membership with IIROC. Perfect for office doors or windows, these new stickers are available in bilingual or French formats.

To order your complimentary stickers, please contact Public Affairs at: publicaffairs@iiloc.ca.



Check up on your Advisor

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

Educational background/Disciplinary history

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