

IIROC NOTICE

Enforcement Notice Decision

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Legal and Compliance

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09-0029
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IN THE MATTER OF Trevor Scott Morrison – Discipline

SUMMARY

Following a disciplinary hearing held on December 22, 2008, in Vancouver, British Columbia, a Hearing Panel of the Investment Industry Regulatory Organization of Canada (“IIROC”) found that Trevor Scott Morrison (the “Respondent”) refused and/or failed to attend and give information in respect of an investigation being conducted by IIROC’s Enforcement Department into his conduct while he was an approved person, contrary to Dealer Member Rule 19.5.

The Hearing Panel imposed the following penalty against the Respondent:

- (a) fine of \$50,000; and
- (b) permanent ban on registration in any capacity;

and required the Respondent to pay costs in the amount of \$11,000.

IIROC formally initiated the investigation into the Respondent’s conduct on December 20, 2007. The violations occurred when the Respondent was a Registered Representative with the 900-700 West Georgia Street Branch of Union Securities Ltd. The Respondent is no longer registered in any capacity with an IIROC Dealer Member.



The Hearing Panel issued its Decision and Reasons on January 16, 2009. The Hearing Panel's Decision and Reasons are available at <http://docs.iroc.ca/DisplayDocument.aspx?DocumentID=23F864783F7E442283AE937C531DEB2D&Language=en> .