

IIROC NOTICE

Enforcement Notice Decision

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Legal and Compliance

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IN THE MATTER OF Dirk Christian Lohrisch – Discipline

SUMMARY

Following a disciplinary hearing held on April 20, 2010 in Vancouver, British Columbia, a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) found that Dirk Christian Lohrisch (Lohrisch) acted in a manner that was unbecoming and detrimental to the public interest. The Hearing Panel found that between 2003 and 2009, Lohrisch engaged in conduct contrary to IIROC Rule 29.1 when he:

- (a) Submitted a Change of Registration Information Form to the IDA (now part of IIROC) Registration Department which was misleading regarding his credentials;
- (b) Submitted or caused to be submitted a document that he forged or caused to be forged with the intent that IIROC act upon it as if it were an original; and
- (c) Attempted to frustrate and/or obstruct IIROC's investigation into his conduct by not responding truthfully or completely with regard to the conduct above.

After a separate penalty hearing held on May 27, 2010, the Hearing Panel imposed the following penalty against Lohrisch:



- (a) A permanent ban from approval in any capacity; and
- (b) A fine of \$40,000;

The Hearing Panel also required that Lohrisch pay costs in the amount of \$27,000.

IIROC formally initiated the investigation into Lohrisch's conduct on July 6, 2009. The violations occurred when he was registered at the 609 Granville Street, Vancouver, head office of Canaccord Financial Ltd., an IIROC-regulated firm. Lohrisch is no longer a registrant in any capacity with an IIROC-regulated firm.

The Hearing Panel issued its Decision and Reasons on the merits and penalty on July 21, 2010. The Hearing Panel's Decision and Reasons are available at

<http://docs.iroc.ca/DisplayDocument.aspx?DocumentID=FCD3AC10D08245869AA0D8FC0AB7F4A9&Language=en>