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New Webcast: Highlights of IIROC's Annual Enforcement Report

This webcast provides an overview of our efforts to protect investors through fair, effective, and timely enforcement of our rules. We will touch on our enforcement priorities and review a few key cases. Specifically, we will cover:

- How we are increasing regulatory cooperation by working more closely with other financial services regulators
- The steps we are taking to increase the collection rate on the fines we impose
- Review of the types of cases we are pursuing including; seniors and vulnerable persons issues, supervision matters and manipulative and deceptive trading practices

Our presenters are Alexandra Clark, Director of Enforcement Litigation, IIROC, and Charles Corlett, Senior Enforcement Counsel, IIROC.



Your completion of this webcast will earn you **.5 hours of IIROC Continuing Education Compliance Credits.**

This webcast will be available for viewing commencing on Tuesday November 29 at 7:00 am Eastern time and on a 24/7 basis after that date.

Please note that there is no accompanying quiz for this webcast. Upon completion of the webcast, participants will be issued an electronic and personalized Continuing Education credit (.5 CE credit) certificate which can be applied to their **Compliance Requirements.**

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