

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice

Hearing

17-0191

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IN THE MATTER OF Earl Marek – Review Requested

September 28, 2017 (Toronto, Ontario) – On March 23, 2017, Earl Marek filed an Application for a Hearing and Review to the Ontario Securities Commission, seeking a review of IIROC Hearing Panel decisions dated October 3, 2016 and February 27, 2017.

The IIROC Hearing Panel's decisions are available at:

[Marek, Earl - 2016 IIROC 36 - Liability Decision](#)

[Marek, Earl - 2017 IIROC 13 - Penalty Decision](#)

Further information about the review can be found at:

https://www.osc.gov.on.ca/en/Proceedings_oth_20170323_mareke.htm

Documents related to ongoing IIROC enforcement proceedings – including Reasons and Decisions of Hearing Panels – are posted on the IIROC website as they become available. Click [here](#) to search and access all IIROC enforcement documents.

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IIROC is the national self-regulatory organization which oversees all investment dealers and their trading activity in Canada's debt and equity markets. IIROC sets high quality regulatory and investment industry standards, protects investors and strengthens market integrity while supporting healthy Canadian capital markets. IIROC carries out its regulatory responsibilities through setting and enforcing rules regarding the proficiency, business and financial conduct of dealer firms and their registered



employees and through setting and enforcing market integrity rules regarding trading activity on Canadian debt and equity marketplaces.

IIROC investigates possible misconduct by its member firms and/or individual registrants. It can bring disciplinary proceedings which may result in penalties including fines, suspensions, permanent bars, expulsion from membership, or termination of rights and privileges for individuals and firms.

All information about disciplinary proceedings relating to current and former member firms is available in the [Enforcement](#) section of the IIROC website. Background information regarding the qualifications and disciplinary history, if any, of advisors currently employed by IIROC-regulated firms is available free of charge through the [IIROC AdvisorReport](#) service. Information on how to make investment dealer, advisor or marketplace-related complaints is available by calling 1 877 442-4322.