

NEWS RELEASE

For immediate release

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October is Investor Education Month

IIROC resources help investors better understand investment regulation and their choices

October 2, 2017 (Toronto, Ontario) –The Investment Industry Regulatory Organization of Canada (IIROC) is making available [enhanced resources](#) for investors to mark Investor Education Month. These resources will help investors better understand how they are protected when investing through an IIROC-regulated firm and investment advisor, as well as how they can use IIROC’s free online database, Advisor Report, to research their advisor’s professional background, including training, qualifications and any history of IIROC discipline.

The recently updated brochure “[How IIROC Protects Investors](#)” explains how IIROC-registered advisors must meet the regulator’s high standards when addressing investors’ financial needs, as well as other safeguards in place. All investor resources are accessible on IIROC’s website, www.iiroc.ca.

“It’s important for Canadians to be able to make informed decisions when choosing their advisors and their investments,” said Lucy Becker, IIROC Vice President of Public Affairs and Member Education Services. “These resources will help Canadians make better decisions and increase their understanding of the protections available to them when working with an IIROC-regulated investment advisor and firm.”

The most common complaint received by IIROC from investors concerns the sale of unsuitable investments, particularly to seniors. This month IIROC is partnering with seniors advocacy group

CARP at their ZoomerShow on October 28-29 in Toronto, providing information resources to all attendees. Details on the show can be found at <http://www.zoomershow.com/toronto/>.

“A key focus for CARP is financial security for Canadians as we age. We are pleased to partner with IIROC in marking Investor Education Month by distributing materials at the ZoomerShow, which we feel will assist our members in making more informed financial decisions,” said Wanda Morris, VP of Advocacy, CARP.

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.

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