

# IIROC NOTICE

## Education Notice

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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. Enforcement's principle strategy to achieve this goal is to pursue credible enforcement action in a timely, responsive, and robust manner using a variety of tools and remedies that will deter wrongdoing and protect investors. This webcast will touch on our enforcement priorities and review a few key cases. Specifically we will cover our actions to:

- increase fine collection through expanded legal authority
- develop alternative forms of disciplinary action that address wrongdoing in a fair and proportionate manner, and
- strengthen the process of compliance referrals to enforcement.

Our presenters are Elsa Renzella, Vice President, Enforcement, IIROC, and Charles Corlett, Acting Director of Enforcement Litigation, 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 August 14 at 4:00 pm 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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