

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice Decision 17-0163

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Correction: IN THE MATTER OF Hampton Securities Ltd. – Settlement Accepted

August 4, 2017 (Toronto, Ontario) – The following correction to an August 1, 2017 release clarifies that the Decision was to accept a Settlement Agreement:

On July 6, 2017, a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) accepted a Settlement Agreement, with sanctions, between IIROC staff and Hampton Securities Ltd.

Hampton Securities Ltd. admitted that it failed to comply with the Universal Market Integrity Rules (UMIR) by allowing direct market access to a client without fully complying with the applicable marketplace rules.

Specifically, Hampton Securities Ltd. admitted to the following violation:

- (a) Between May and November 2012 and between January and June 2013, Hampton Securities Ltd. failed to comply with the provisions of Universal Market Integrity Rule 10.1 by allowing direct market access to a client without fully complying with the applicable marketplace rules.

Pursuant to the Settlement Agreement, Hampton Securities Ltd. agreed to the following penalty:

- (a) a fine of \$20,000.

Hampton Securities Ltd. also agreed to pay costs in the amount of \$1,500.



The Settlement Agreement is available at:

<http://docs.iiroc.ca/DisplayDocument.aspx?DocumentID=1935E64EB0094331BCF930B95BFFE1ED&Language=en>

The Hearing Panel's decision will be made available at www.iiroc.ca

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.

IIROC formally initiated the investigation into Hampton Securities Ltd.'s conduct in June 2015.

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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 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.