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New Webcast: IIROC Compliance, Trading Review and Analysis and Enforcement Presentation from the 2017 IIROC Compliance Conference

At the IIROC Compliance Conference held in September, 2017, in Toronto, IIROC provided a presentation covering initiatives underway in the Compliance, Trading Review and Analysis and Enforcement areas. This webcast is a recording of that session and provides an interactive and engaging review of the critical issues that these IIROC departments are currently addressing.

The presenters are:

- Louis Piergeti- VP, Financial & Operations Compliance
- Sandra Blake- VP, Business Conduct Compliance
- Kevin McCoy- VP, Market Policy and Trading Conduct Compliance
- Wade Cox- VP, Trading Review and Analysis
- Ralph Gaston- Director, Enforcement Investigations



This webcast will be available for viewing commencing on January 29, 2018 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 (1.5 CE credit) certificate which can be applied to their **Compliance Requirements**.

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