

# NEWS RELEASE

*For immediate release*

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## ***IIROC Announces 2019 Priorities***

### **Positioning Public Interest Regulator for Canada's Changing Investment Landscape**

**June 25, 2018 (Toronto, Ontario)** – The Investment Industry Regulatory Organization of Canada (IIROC) today published its [2019 Priorities](#), outlining 10 areas of focus where the public interest regulator will take action to better protect investors and promote healthy capital markets in Canada.

Key 2019 priorities include:

- supporting industry transformation by completing our industry consultation on the evolution of advice and preparing to regulate industry services delivered through blockchain
- considering alternative forms of disciplinary action to provide more flexibility and ensure timely enforcement responses that are tailored and proportionate to the circumstances
- issuing additional guidance on compensation-related conflicts, ensuring it is aligned with the Canadian Securities Administrators' (CSA) work on client-focused reforms and embedded commissions
- conducting industry table-top exercises and a second self-assessment to help Dealers improve their cybersecurity preparedness
- proposing a safe-harbour rule, aligning with the CSA, and complemented by additional tools to help Dealers protect the interests of vulnerable investors
- adding government-debt trades to IIROC's Debt Information Processor service
- implementing a new surveillance system which supports advanced analytics and cross-asset and cross-dealer surveillance and investigations to allow IIROC to more easily identify suspicious market activity

“IIROC is taking a forward-looking approach to accommodating new innovations and business models, while continuing to protect investors no matter how they get investment advice and services,” said IIROC President and CEO Andrew J. Kriegler. “Our priorities focus on providing more efficient, relevant and proportionate regulation as we adapt to the changing needs of investors and the industry.”

The 2019 priorities build on the mission, vision and strategies IIROC set out in its three-year Strategic Plan and complement IIROC’s ongoing dealer and market oversight responsibilities.

“It’s important that our stakeholders understand both our immediate priorities and our long-term goals and strategies. We will continue to consult broadly to ensure we take into consideration stakeholders’ views,” Mr. Kriegler said.

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IIROC is the national self-regulatory organization that 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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