

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice

Hearing

18-0083

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IN THE MATTER OF Darryl Joseph Yasinowski – Adjournment

April 13, 2018 (Regina, Saskatchewan) – A hearing was originally scheduled before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) in the matter of Darryl Joseph Yasinowski on April 16 – 20, 2018, in Regina, Saskatchewan. The hearing was adjourned to June 25 – 29, 2018.

The hearing concerns allegations that Mr. Yasinowski failed to know his clients and made unsuitable recommendations with respect to the accounts of five clients. The accounts were managed by Mr. Yasinowski and he was authorized to exercise his discretion concerning recommendations.

The hearing is open to the public, unless the Hearing Panel orders otherwise. The decision of the Hearing Panel 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.

Hearing Date: June 25 – 29, 2018 at 10:00 a.m.

Location: Delta Hotel by Marriott Regina – Verdi Room 1919 Saskatchewan Drive Regina, SK S4P 4H2



Specifically, the allegations are that:

- a) Between approximately May 2010 and October 2014, Mr. Yasinowski failed to use due diligence to learn and remain informed of the essential facts relative to five clients, contrary to Dealer Member Rule 1300.1(a)
- b) Between approximately May 2010 and October 2014, Mr. Yasinowski failed to use due diligence to ensure that investment recommendations were suitable for five clients, contrary to Dealer Member Rule 1300.1(q).

IIROC formally initiated the investigation into Mr. Yasinowski's conduct in December 2014. The alleged violations occurred while he was a Portfolio Manager and a Registered Representative with the Regina branch of Mackie Research Capital Corporation, an IIROC-regulated firm. Mr. Yasinowski is currently registered with Industrial Alliance Securities Inc.

The Notice of Hearing and Statement of Allegations which sets out the allegations is available at: <http://docs.iiroc.ca/DisplayDocument.aspx?DocumentID=4FFCF9FA1D6047519E3C7FE62DF1F2CA&Language=en>

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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.