



Rosemary Chan
Senior Vice President, Member Compliance, General Counsel and Corporate Secretary

As Senior Vice President, Member Compliance, Ms. Chan is responsible for the Business Conduct Compliance and Financial & Operations Compliance functions of IIROC. These departments monitor the financial, business and sales practice compliance of IIROC-regulated firms and their registered employees.

As General Counsel and Corporate Secretary, Ms. Chan is responsible for the legal and regulatory affairs of IIROC. This includes the administration of the hearing panels, dealer and marketplace membership matters and providing advice and support to the Board of Directors of IIROC.

Ms. Chan has extensive industry experience and previously held senior compliance positions with RBC Investments and Canada Trust.

Ms. Chan practiced securities law at Torys LLP and was called to the Ontario Bar in 1990.