

# IIROC NOTICE

## **Enforcement Notice Hearing**

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**10-0210**  
**August 5, 2010**

## **IN THE MATTER OF Todd Robert Dean– Settlement**

**August 5, 2010 (Calgary, AB)** – A hearing has been scheduled before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) to consider whether the Hearing Panel should accept a Settlement Agreement entered into between IIROC and Todd Robert Dean.

The hearing is not open to the public unless and until the Settlement Agreement has been accepted by the Hearing Panel. If the Hearing Panel accepts the Settlement Agreement, the Panel's decision and reasons will be made available to the public.

**Hearing Date:** Friday, August 27, 2010 at 10:00 a.m.

**Location:** Calgary Telus Convention Centre, at 120-9 Avenue SE, Calgary, Alberta

The Settlement Agreement concerns allegations that Mr. Dean conducted his business in a manner that is unbecoming and detrimental to the public interest while he was a registered representative with TD Waterhouse Canada Inc. (TDW) when:

- (a) In 2005 he forged signatures of five of his clients on account documentation; and,



- (b) In February 2008, he misled his employer, TDW, and the IDA (now IIROC) by providing false information in response to an anonymous complaint regarding forged client signatures.

IIROC formally initiated the investigation into Mr. Dean's conduct on June 22, 2009. Mr. Dean is not currently registered with an IIROC-regulated firm.