

NOTICE / NEWS RELEASE

For immediate release

CORRECTED
Enforcement Notice
Hearing
15-0241

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IN THE MATTER OF Robert Adrian Crandall – Motion Decision

October 27, 2015 (Fredericton, New Brunswick) – Following a motion held on October 7, 2015 a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) ordered the following in the matter of Robert Adrian Crandall:

- (a) IIROC Staff's motion to permit a witness to testify at the hearing via live videoconference is granted; and
- (b) Mr. Crandall's motion requesting an adjournment of the hearing dates in this matter is also granted.

The hearing will now take place at **10:00 am** on **February 1 and 2, 2016** in Fredericton, New Brunswick.

The hearing will be held in the following location:

Delta Fredericton – Victoria Room
225 Woodstock Road
Fredericton, New Brunswick

The Hearing Panel's decision on the motion dated October 22, 2015, is available at: <http://docs.iiroc.ca/DisplayDocument.aspx?DocumentID=1CCAAB1E68A34D94B5292D00B55E9D56&Language=en>.

The hearing relates to a disciplinary proceeding initiated against Mr. Crandall which alleges that he engaged in excessive trading, unauthorized discretionary trading and made unsuitable recommendations.



The Notice of Hearing which sets out the allegations is available at:

<http://docs.iiroc.ca/DisplayDocument.aspx?DocumentID=3FF4C4BB59DC422590C44FFF96AD6793&Language=en>

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.

IIROC formally initiated the investigation into Mr. Crandall’s conduct in July 2013. The alleged violations occurred while he was a Registered Representative with the Fredericton branch of Wellington West Capital Inc. and its successor National Bank Financial, both IIROC-regulated firms at the relevant times. Mr. Crandall is no longer a registrant with an IIROC-regulated firm.

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IIROC is the national self-regulatory organization which oversees all investment dealers and trading activity on debt and equity marketplaces in Canada. Created in 2008 through the consolidation of the Investment Dealers Association of Canada and Market Regulation Services Inc., IIROC sets high quality regulatory and investment industry standards, protects investors and strengthens market integrity while maintaining efficient and competitive 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.