

# NOTICE / NEWS RELEASE

*For immediate release*

## **Enforcement Notice Hearing 17-0097**

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## **IN THE MATTER OF Alberto (Bob) Tassone – Penalty Hearing**

**April 28, 2017 (Vancouver, BC)** – A penalty hearing has been scheduled before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) in the matter of Alberto Tassone.

The Hearing Panel will consider the penalty to be imposed as a result of their decision dated February 23, 2017, which found that Mr. Tassone provided misleading information to IIROC staff concerning the extent of his personal financial interest in the JED Energy Investment and his status as an officer and director of one of the constituent entities of the JED Energy Investment.

Hearing Panel's liability decision is available at:

[http://www.iiroc.ca/Documents/2017/97cc537c-5a16-48cf-9ed1-3707079a438e\\_en.pdf](http://www.iiroc.ca/Documents/2017/97cc537c-5a16-48cf-9ed1-3707079a438e_en.pdf)

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](http://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 22, 2017 at 10:00 a.m.

**Location:** Reportex Agency  
1010-925 W. Georgia Street  
Vancouver, BC V6C 3L2



IIROC formally initiated the investigation into Mr. Tassone's conduct in November 2013. The conduct occurred while he was a Registered Representative with the Delta, B.C. branch of Raymond James Ltd., an IIROC-regulated firm. Mr. Tassone is currently a Registered Representative with the Vancouver Branch of Mackie Research Capital Corp., an IIROC-regulated firm.

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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.

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