

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice Hearing 19-0137

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IIROC Holds Protective Order Hearing for Dominick Capital Corporation

August 12, 2019 (Toronto, Ontario) – A protective order hearing has been scheduled before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) in the matter of Dominick Capital Corporation.

IIROC Staff will seek orders pursuant to Sections 8212 and 8426 of the Consolidated Enforcement, Examination and Approval Rules. In particular, IIROC Staff will seek, among other things, an order for the suspension of Dominick Capital Corporation's membership.

The hearing is open to the public, unless the Panel orders otherwise. The decision of the Hearing Panel will be made available at www.iiroc.ca.

Hearing Date: August 16, 2019 at 10:00 a.m.

Location: IIROC – 121 King Street West, Suite 2000, Toronto, Ontario

The Notice of Application which sets out the grounds for IIROC Staff's application is available at: http://www.iiroc.ca/documents/2019/e0c083f4-2a7a-4be2-875f-bc9c743f4a6a_en.pdf

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IIROC is the national self-regulatory organization that 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 more than 170 Canadian investment dealer firms and their more than 29,000 registered employees, the majority of whom are commonly referred



to as investment advisors. IIROC also sets and enforces market integrity rules regarding trading activity on Canadian debt and 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.