

# NOTICE / NEWS RELEASE

*For immediate release*

**Enforcement Notice  
Decision  
19-0172**

*For further information, please contact:*

*Enforcement Contact:*

*Media Contact:*

Warren Funt  
Vice President, Western Canada  
604 331-4750  
[wfunt@iiroc.ca](mailto:wfunt@iiroc.ca)

Andrea Zviedris  
Manager, Media Relations  
416 943-6906  
[azviedris@iiroc.ca](mailto:azviedris@iiroc.ca)

## **IIROC Hearing Panel Issues Motion Decision in the Matter of Vancouver Investment Advisor Dwight Cameron Mann**

**October 7, 2019 (Vancouver, BC)** – Following a motion held on August 22, 2019, a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) ordered the following in the matter of Dwight Cameron Mann:

- a) Paragraph 42 be struck from the Statement of Allegations; and
- b) Evidence tending to the proof of the allegations in paragraph 42 is inadmissible against Mr. Mann in these proceedings.

The Hearing Panel's decision on the motion dated September 19, 2019, will be available at:

[http://www.iiroc.ca/documents/2019/d9cc2d1b-78e2-4591-9935-6139f0cf4233\\_en.pdf](http://www.iiroc.ca/documents/2019/d9cc2d1b-78e2-4591-9935-6139f0cf4233_en.pdf)

The motion was brought by Mr. Mann, who was seeking to strike one paragraph of the Statement of Allegations as unnecessary, and in the alternative, that the Chair of the Hearing Panel recuse himself from the Hearing of this matter.

The motion relates to a disciplinary hearing initiated against Mr. Mann, which alleges that he engaged in misleading, fraudulent and/or deceptive conduct in certain clients' accounts. It is also alleged that he made an unjustified promise of specific results and failed to report a client's complaint.

IIROC formally initiated the investigation into Mr. Mann's conduct in May 2018. The alleged violations occurred while he was a Portfolio Manager and a Registered Representative with a Vancouver branch of National Bank Financial Ltd., an IIROC-regulated firm. Mr. Mann is currently a Portfolio Manager and a Registered Representative at the Vancouver branch of Canaccord Genuity Corp., an IIROC-regulated firm.



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.

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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.