

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice Hearing 19-0104

For further information, please contact:

Enforcement Contact:

Warren Funt
Vice-President, Western Canada
604 331-4750
wfunt@iroc.ca

Media Contact:

Andrea Zviedris
Manager, Media Relations
416 943-6906
azviedris@iroc.ca

IIROC to Hold Disciplinary Hearing for Vancouver Investment Advisor Dwight Cameron Mann

June 11, 2019 (Vancouver, BC) – The Investment Industry Regulatory Organization of Canada (IIROC) will hold a disciplinary hearing regarding Dwight Cameron Mann. The hearing concerns allegations that Mr. Mann 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.

Specifically, the allegations are that:

- a) Between December 2015 and January 2018, Mr. Mann provided an unjustified promise of specific results in connection with his business, contrary to Dealer Member Rule 29.7(1)(b) and Consolidated Rule 1400 (Dealer Member Rule 29.1 prior to September 1, 2016);
- b) Between January 2015 and March 2018, Mr. Mann engaged in misleading, fraudulent and/or deceptive conduct with respect to backdated transactions, contrary to Consolidated Rule 1400 (Dealer Member Rule 29.1 prior to September 1, 2016);
- c) Between January 2015 and March 2018, Mr. Mann engaged in misleading, fraudulent and/or deceptive conduct with respect to cancel and correct transactions, contrary to Consolidated Rule 1400 (Dealer Member Rule 29.1 prior to September 1, 2016); and
- d) In October 2015, Mr. Mann failed to report a client complaint, contrary to Dealer Member Rule 3100(I)(A)(1)(c).



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.

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: November 19 – December 6, 2019 at 10:00 a.m.

Location: Reportex 1010 – 925 West Georgia Street Vancouver, BC V6C 3L2

The Notice of Hearing and Statement of Allegations which sets out the allegations is available at: http://www.iiroc.ca/documents/2019/d16c744b-a43b-4b2d-9f89-9599425cb857_en.pdf

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.