

# NOTICE / NEWS RELEASE

*For immediate release*

## **Enforcement Notice Hearing 19-0131**

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## **IIROC Begins Disciplinary Action Against Former Barrie Investment Advisor Alvin Rupert Jones**

**August 1, 2019 (Toronto, Ontario)** – The Industry Regulatory Organization of Canada (IIROC) will set a date for a disciplinary hearing in the matter of Alvin Rupert Jones.

Specifically, the allegations are that:

- (a) Between June 2015 and April 2017, Mr. Jones conducted outside business that involved two of his clients without informing and the approval of his employer – contrary to Dealer Member Rule 18.14 and Consolidated Rule 1400 (prior to September 1, 2016, Dealer Member Rule 29.1).

IIROC formally initiated the investigation into Mr. Jones's conduct in August 2017. The alleged violations occurred while he was a Registered Representative with the Barrie branch of Manulife Securities Inc., an IIROC-regulated firm. Mr. Jones is no longer a registrant with an IIROC-regulated firm.

The set date appearance is open to the public, unless the Hearing Panel orders otherwise. The date for the discipline hearing will be made available at [www.iiroc.ca](http://www.iiroc.ca).

**Set Date Appearance:** August 14, 2019 at 10:00 a.m.

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

The Notice of Hearing and Statement of Allegations which sets out the allegations is available at: [http://www.iiroc.ca/documents/2019/3daaa7e3-ea36-401f-82cd-09e94e01856d\\_en.pdf](http://www.iiroc.ca/documents/2019/3daaa7e3-ea36-401f-82cd-09e94e01856d_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.

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