

NOTICE / NEWS RELEASE

For immediate release

**Enforcement Notice
Hearing
19-0139**

For further information, please contact:

Enforcement Contact:

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

Media Contact:

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

IIROC Hearing Panel to Hear Motion in the Matter of Vancouver Investment Advisor Dwight Cameron Mann

August 14, 2019 (Vancouver, BC) – A motion has been scheduled before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) in the matter of Dwight Cameron Mann.

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

The motion 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.

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.

Motion Date: August 22, 2019 at 10:00 a.m.

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

* * *

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.