

**Registration Review Hearing  
Decision  
20-0234**

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**IN THE MATTER OF David Weekes, Matthew Weekes and Ralph Weekes –  
Registration Review Hearing Decision**

**November 5, 2020 (Ontario)** – On June 6, 2019, the Registration Subcommittee of the Ontario District Council (the “Subcommittee”) imposed terms and conditions on the registration and approval of David Weekes, Matthew Weekes, and Ralph Weekes (hereafter referred to as the Weekeses) with the Investment Industry Regulatory Organization of Canada (IIROC). These terms and conditions required the Weekeses to be under Enhanced Strict Supervision. The Weekeses sought a review by an IIROC Hearing Panel (the “Panel”) of the June 6, 2019 decision of the Subcommittee.

On October 29, 2020, the Panel varied the terms and conditions imposed by the Subcommittee’s decision, requiring the Weekeses to be under Enhanced Close Supervision.

The decision of the Panel is available at:

[http://www.iiroc.ca/documents/2020/a8da0196-317a-4416-9b67-1698ede5e8d4\\_en.pdf](http://www.iiroc.ca/documents/2020/a8da0196-317a-4416-9b67-1698ede5e8d4_en.pdf), under the Registration Review Hearing Notices section of the IIROC website at [www.iiroc.ca](http://www.iiroc.ca).

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IIROC is the national self-regulatory organization which 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 dealer firms and their registered employees and through setting and enforcing market integrity rules regarding trading activity on Canadian debt and equity marketplaces.