

# NOTICE / NEWS RELEASE

*For immediate release*

## Enforcement Notice

### Hearing

**20-0141**

*For further information, please contact:*

*Enforcement Contact:*

*Media Contact:*

Charles Corlett  
Director, Enforcement Litigation  
416 646-7253  
[ccorlett@iiroc.ca](mailto:ccorlett@iiroc.ca)

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

## **IIROC to Hold Disciplinary Hearing for Former St. Catharines Investment Advisor Dean Martin Jenkins**

**June 30, 2020 (St. Catharines, Ontario)** – A hearing has been scheduled before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) in the matter of Dean Martin Jenkins.

The hearing concerns allegations that:

- (a) Between November 2013 and February 2016, Mr. Jenkins facilitated off-book investments for several clients without the knowledge or approval of his Dealer Member, and received remuneration for the investments, contrary to Dealer Member Rules 18.14 and 29.1.

It is alleged that Mr. Jenkins recommended and facilitated the off-book purchase of high-risk syndicated mortgage investments for numerous clients without telling his employer of his involvement with these products or his clients' investments. He received compensation of at least \$54,000 as a result of his clients' off-book purchases.

IIROC formally initiated the investigation into Mr. Jenkin's conduct in October 2018. The alleged violations occurred while he was a Registered Representative with the St. Catharines branch of Edward Jones Inc., an IIROC-regulated firm. Mr. Jenkins is no longer a registrant with an IIROC-regulated firm.

The hearing is open to the public, unless the Panel orders otherwise. Members of the public who would like to attend the hearing should contact IIROC's National Hearing Coordinator at [NHC1@iiroc.ca](mailto:NHC1@iiroc.ca) to obtain the details. The decision of the Hearing Panel will be made available at [www.iiroc.ca](http://www.iiroc.ca).

**Hearing Date:** The hearing will be held by way of video conference commencing Tuesday, December 8 at 10:00 a.m.



The Notice of Hearing and Statement of Allegations which sets out the allegations is available at: [Jenkins, Dean Martin – Notice of Hearing and Statement of Allegations](#)

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.

\* \* \*

IIROC is the pan-Canadian 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 175 Canadian investment dealer firms and their nearly 30,000 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.