

Registration Review Hearing

Decision

20-0166

For further information, please contact:

Richard Korble

Acting Vice President, Registration

403-262-6393

rkorble@iiroc.ca

IN THE MATTER OF Gerard Owen Gardiner – Registration Review Hearing Decision

July 23, 2020 (Saskatchewan) – On December 23, 2019, the Registration Subcommittee of the Saskatchewan District Council imposed terms and conditions on Gerard Owen Gardiner’s registration and approval in the categories of Portfolio Management, Supervisor, and Registered Representative with the Investment Industry Regulatory Organization of Canada (IIROC). These terms and conditions require Mr. Gardiner to be under Close Supervision. Mr. Gardiner sought a review of that decision by an IIROC Hearing Panel (the Panel).

On July 8, 2020, the Panel affirmed the Subcommittee’s decision requiring Mr. Gardiner be under Close Supervision.

The decision of the Panel is available at:

http://www.iiroc.ca/documents/2020/5b6533a4-2235-437c-b9ae-bd74bc4f5554_en.pdf, under the Registration Review Hearing Notices section of the IIROC website at www.iiroc.ca.

* * *

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.