

# NOTICE / NEWS RELEASE

*For immediate release*

## **Enforcement Notice**

### **Hearing**

**20-0269**

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## **IN THE MATTER OF Dean Martin Jenkins– Liability Decision**

**December 18, 2020 (St. Catharines, Ontario)** –On December 8, 2020, a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) held a disciplinary hearing in the matter of Dean Martin Jenkins.

The Hearing Panel considered an Agreed Statement of Facts, dated November 30, 2020, and imposed liability for the following contravention:

- (a) Between November 2013 and February 12, 2016, Mr. Jenkins facilitated off-book investments for various 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.

The Agreed Statement of Facts is available at:

[http://www.iiroc.ca/documents/2020/9ed8c59a-6f41-4f0d-bab6-d545fc22a319\\_en.pdf](http://www.iiroc.ca/documents/2020/9ed8c59a-6f41-4f0d-bab6-d545fc22a319_en.pdf)

The Hearing Panel's liability decision will be made available at [www.iiroc.ca](http://www.iiroc.ca).

A separate hearing will be held to determine the penalty to be imposed on Mr. Jenkins, the date of which will be made available at [www.iiroc.ca](http://www.iiroc.ca).

IIROC formally initiated the investigation into Mr. Jenkins' conduct in October 2018. The 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.



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 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 of varying sizes and business models, and their more than 30,000 registered employees. 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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