

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice

Decision

20-0243

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IIROC Hearing Panel Terminates Dominick Capital Corporation's Membership

November 18, 2020 (Toronto, Ontario) – A motion was heard before a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) in the matter of Dominick Capital Corporation (“Dominick”). IIROC, with the consent of Dominick, sought an order terminating and expelling Dominick’s membership with IIROC, following the suspension of its membership on August 19, 2019.

The motion was heard in writing on October 28, 2020.

The Hearing Panel ordered that:

- (a) Pursuant to Section 8212(4)(v) of the Consolidated Rules, Dominick Capital Corporation shall be and hereby is expelled from IIROC effective immediately; and
- (b) Pursuant to Section 8212(4)(v) of the Consolidated Rules, Dominick Capital Corporation’s rights and privileges of IIROC membership shall be and hereby are terminated effective immediately.

The Decision and Order of the Hearing Panel dated November 7, 2020 is available at:

http://www.iiroc.ca/documents/2020/5fb98478-e78d-4f07-8f8c-757e0940297b_en.pdf

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.