

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice

Hearing

21-0002

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IN THE MATTER OF Dwight Cameron Mann – Review Requested

January 4, 2021 (Vancouver, BC) – On December 14, 2020, IIROC Staff filed with the British Columbia Securities Commission a Request for Review of the IIROC Hearing Panel Sanction Decision dated November 21, 2020, in the matter of Dwight Cameron Mann.

The decision under review is available at:

https://www.iiroc.ca/Documents/2020/29610174-823c-4b77-80ee-28c2b4daf3a4_en.pdf

Further information about the review can be found at: <https://www.bcsc.bc.ca/>

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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