

NOTICE / NEWS RELEASE

For immediate release

Enforcement Notice

Decision

21-0071

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IIROC Sanctions Former St. Catharines Investment Advisor Dean Martin Jenkins

April 7, 2021 (St. Catharines, Ontario) – Following a penalty hearing held on March 9, 2021, a Hearing Panel of the Investment Industry Regulatory Organization of Canada (IIROC) imposed the following penalty on Dean Martin Jenkins:

- (a) a permanent prohibition from registration with IIROC; and
- (b) disgorgement in the amount of \$55,450.

Mr. Jenkins is also required to pay costs in the amount of \$2,500.

The penalty decision can be found at:

http://www.iroc.ca/documents/2021/62098586-7765-4d32-835f-895563bf1c9b_en.pdf

In an earlier decision dated December 18, 2020, the Hearing Panel found that Mr. Jenkins facilitated the off-book purchase of high-risk syndicated mortgage investments for several clients. He also failed to tell his employer about the transactions.

The decision on Liability can be found at: [Re Jenkins, 2020 IIROC 44](#)

IIROC formally initiated the investigation into Mr. Jenkin's 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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