

# Appendix A:

## Enforcement Proceedings

Click on the name under Case Name to review relevant documents online.

INDIVIDUALS				
Case Name (Province)	Type of Proceeding	Commenced	Contraventions	Sanctions Imposed
<a href="#">Bonnie Wyatt</a> Ontario	Settlement	April 22, 2021	Standards of conduct Failure to know client	\$20,000 fine \$5,000 costs 3 months close supervision Terms and conditions <sup>5</sup>
<a href="#">James Robert Harris</a> Saskatchewan	Settlement	May 4, 2021	Failure to know client Suitability	\$25,000 fine \$15,000 disgorgement \$2,500 costs 30 day suspension
<a href="#">Gordon Albert Malic</a> Alberta	Settlement	May 11, 2020	Outside business activity Conflict of interest	\$75,000 fine \$5,000 costs 6 month suspension Terms and conditions
<a href="#">Edward Ho Rha</a> Alberta	Discipline	March 5, 2021	Failure to know client Suitability Excessive trading Personal financial dealings	\$150,000 fine \$15,000 costs 1 year suspension Terms and conditions
<a href="#">Roberta Benson</a> Ontario	Settlement	June 21, 2021	Failure to know client	\$30,000 fine \$10,000 costs 5 year suspension

<sup>5</sup> A hearing panel may impose terms and conditions on an individual or firm; common terms and conditions include rewriting the Conduct and Practices Handbook Course (CPH) and a period of close or strict supervision.

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<a href="#">Kamal Lidder</a> British Columbia	Settlement	July 9, 2021	Discretionary trading	\$15,000 fine \$2,000 costs
<a href="#">Joseph Anthony Thomson</a> Ontario	Settlement	June 16, 2020	Failure to know client Suitability Conflict of interest	\$100,000 costs 1 year suspension 5 year supervisory suspension
<a href="#">Scott Andrew Hanson</a> Ontario	Settlement	August 27, 2021	Discretionary trading Outside business activity	\$10,000 fine \$1,111.72 disgorgement \$10,000 costs 3 month suspension
<a href="#">Sylvain Trudel</a> Quebec	Settlement	July 12, 2021	Discretionary trading	\$10,000 fine \$1,000 costs
<a href="#">Alfred Drose</a> Ontario	Discipline	August 20, 2020	Failure to know client Suitability	\$25,000 fine \$35,000 costs \$112,171 disgorgement 2 year suspension Terms and conditions
<a href="#">Michael Kevin Small</a> Quebec	Settlement	August 19, 2021	Personal financial dealings	\$20,000 fine \$2,500 costs Terms and conditions
<a href="#">Thomas Stock</a> British Columbia	Settlement	March 1, 2021	Failure to know client Suitability Failure to cooperate	\$10,000 fine \$5,000 costs Permanent bar

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<a href="#">Alberto Storelli</a> British Columbia	Discipline	January 6, 2020	Personal financial dealings Failure to cooperate Misleading IIROC Staff	\$50,000 fine \$10,000 costs 4 year suspension
<a href="#">Dwight Cameron Mann</a> British Columbia	Discipline <sup>6</sup>	March 26, 2019	Standards of conduct Failure to report client complaint	\$250,000 fine \$50,000 costs Terms and conditions
<a href="#">Larry Martin</a> British Columbia	Settlement	November 4, 2021	Standards of conduct	\$82,000 fine \$20,000 costs
<a href="#">Shayne Ian Frederick Nyquvest</a> British Columbia	Settlement	November 29, 2021	Personal financial dealings Off book transactions Outside business activity	\$34,000 fine \$5,000 costs 6 month suspension Terms and conditions
<a href="#">Yonathan Chanoch Shields</a> Ontario	Discipline	August 14, 2019	Failure to know client Suitability	\$40,000 fine \$35,000 costs \$64,054.80 disgorgement 10 month suspension Terms and conditions
<a href="#">Joan Marie McCarthy</a> Newfoundland	Discipline	April 21, 2021	Forgery and misappropriation Failure to cooperate	\$1,000,000 fine \$103,522.14 costs Permanent bar

<sup>6</sup> Proceeding concluded with a hearing and review or appeal

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<a href="#">Milan Plentai</a> Ontario	Settlement	April 27, 2021	Standards of conduct Personal financial dealings	\$45,000 fine \$10,000 costs \$6,170 disgorgement 2 year suspension Terms and conditions
<a href="#">Mohammad Movassaghi</a> British Columbia	Discipline	April 28, 2020	Forgery Failure to cooperate	\$100,000 fine \$60,000 costs Permanent bar
<a href="#">Charles-Philippe Matte</a> Quebec	Settlement	February 7, 2022	Discretionary trading	\$10,000 fine \$2,500 costs
<a href="#">Howard Tsao</a> Ontario	Settlement	September 15, 2021	Outside business activity Failure to cooperate	\$30,000 fine, including disgorgement of \$13,229.35 \$5,000 costs Permanent bar
<a href="#">Jeffrey Brian Ber</a> Alberta	Settlement	September 2, 2021	Standards of conduct	\$70,000 fine \$5,000 costs 3 year suspension

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FIRMS				
Case Name (Province)	Type of Proceeding	Commenced	Contraventions	Sanctions Imposed
<a href="#">RBC DS</a> Ontario	Settlement	June 21, 2021	Supervision	\$350,000 fine \$50,000 costs
<a href="#">iA Private Wealth Inc.</a> Quebec	Settlement	July 20, 2021	Internal controls	\$350,000 fine \$25,000 costs
<a href="#">PACE Securities Corp.</a> Ontario	Termination	November 30, 2021	Firm winding down	Termination
<a href="#">Canaccord Genuity Corp.</a> British Columbia	Settlement	December 2, 2021	Internal controls Supervision	\$157,500 fine \$50,000 costs
<a href="#">Scotia Capital Inc.</a> Ontario	Settlement	December 10, 2021	Internal controls Supervision	\$140,000 fine \$5,000 costs Terms and conditions
<a href="#">Regent Capital Partners Inc.</a> Ontario	Protective Order	January 12, 2022	Capital deficiency	Suspension
<a href="#">CIBC World Markets Inc.</a> Ontario	Settlement	March 15, 2022	Trading supervision obligations	\$150,000 fine \$15,000 costs
<a href="#">Friedberg Mercantile Group Ltd.</a> Ontario	Settlement	March 21, 2022	Inadequate books and records Internal controls Supervision	\$223,000 fine \$25,000 costs