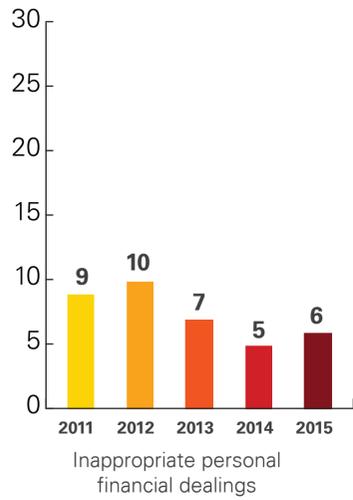
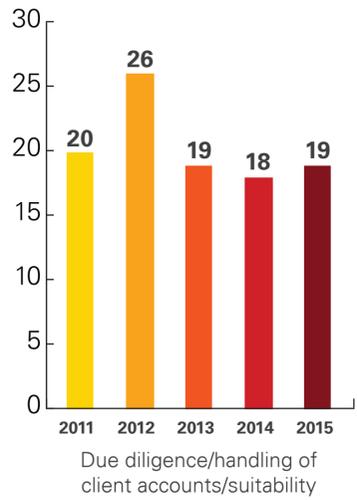


Investment Industry Regulatory Organization of Canada

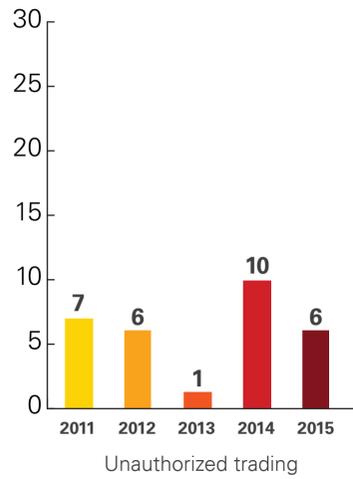
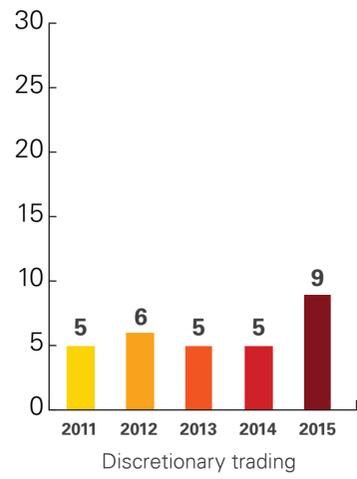
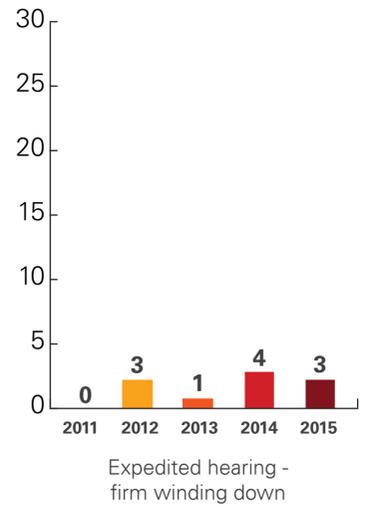
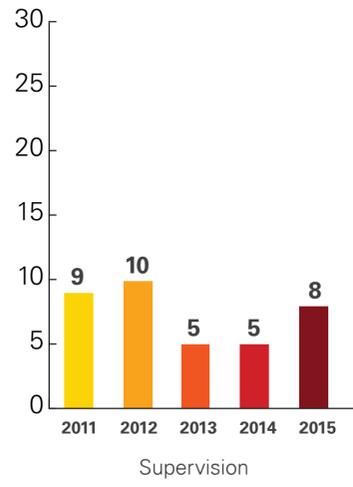
Enforcement Activities IIROC 2014-2015 Annual Report

Regulatory Violations Prosecuted by IIROC

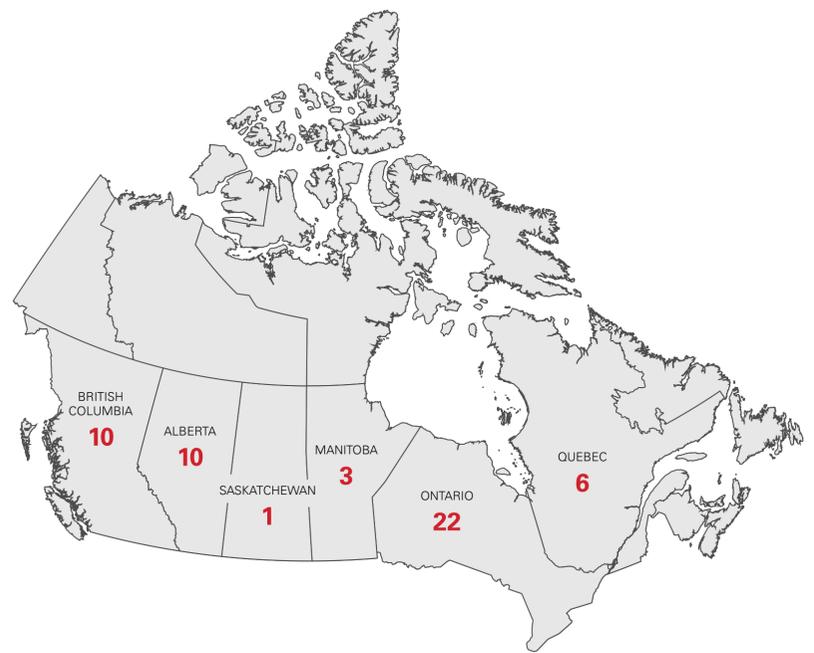
Individuals



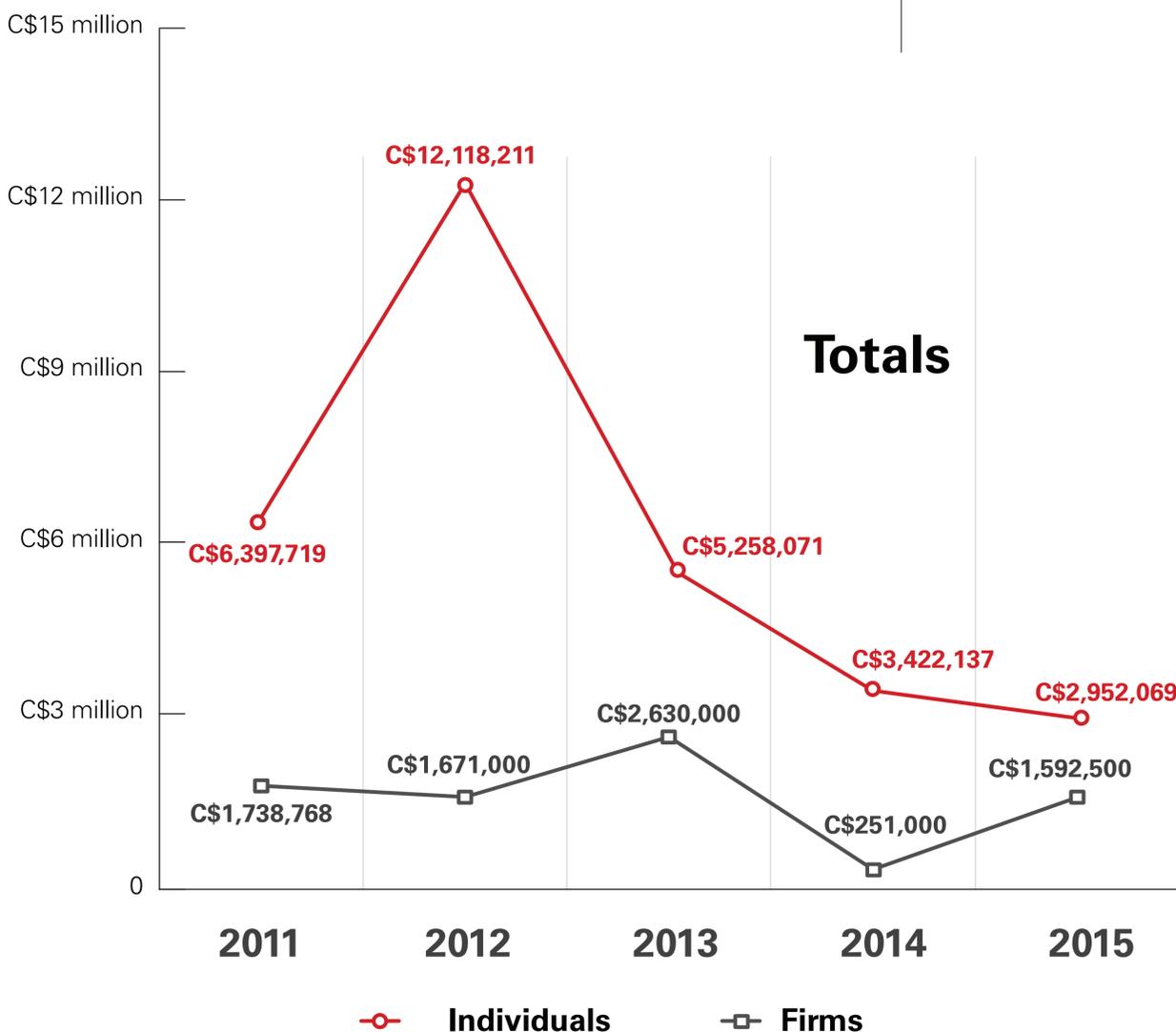
Firms



Prosecutions by Province



Sanctions Imposed



Totals



Credit for Cooperation

New Credit for Cooperation policy states that "proactive and exceptional cooperation" will be a mitigating factor for sanctions.