

Hearing Notice - CIRO to Hold a Disciplinary Hearing for Henry Griffioen

2024-09-11

TORONTO, Sept. 11, 2024 /CNW/ - An interim appearance and hearing dates have been scheduled before a hearing panel of the Canadian Investment Regulatory Organization (CIRO) pursuant to the Mutual Fund Dealer Rules in the matter of Henry Griffioen.

The hearing is open to the public unless the panel orders otherwise. The decision of the hearing panel will be made available at www.ciro.ca.

Interim Appearance Date: January 21, 2025, at 10:00 a.m. (Eastern Time)

Hearing Dates: March 17-25, 2025, at 10:00 a.m. (Eastern Time)

Location: Toronto, Ontario by videoconference

Members of the public who would like to obtain further particulars should fill out this [questionnaire](#).

The hearing concerns allegations that Henry Griffioen:

- a) engaged in securities-related business that was not carried on for the account or through the facilities of the Dealer Member by recommending, selling, or facilitating the sale of promissory notes to clients and another individual;
- b) engaged in outside activities that were not approved by the Dealer Member;

- c) failed to disclose to the Dealer Member a conflict or potential conflict of interest in respect of his outside activities; and
- d) created false or misleading notes on an account form and in the Dealer Member's system.

The Notice of Hearing and Statement of Allegations which set out the allegations are available at:

Griffioen, Henry – Notice of Hearing and Statement of Allegations

At all material times, Henry Griffioen was registered in London, Ontario as a dealing representative with Quadrus Investments Services Ltd. Henry Griffioen is not currently registered in the securities industry in any capacity.

The Canadian Investment Regulatory Organization (CIRO) is the national self-regulatory organization that oversees all investment dealers, mutual fund dealers and trading activity on Canada's debt and equity marketplaces. CIRO is committed to the protection of investors, providing efficient and consistent regulation, and building Canadians' trust in financial regulation and the people managing their investments. For more information, visit www.ciro.ca.

All information about disciplinary proceedings relating to current and former member firms and individual registrants under the **Investment Dealer and Partially Consolidated Rules** (for investment dealers), the **Mutual Fund Dealer Rules** (for mutual fund dealers) and the **Universal Market Integrity Rules** (UMIR) is available on **CIRO's website**.

Background information regarding the qualifications and disciplinary history, if any, of advisors currently employed by CIRO-regulated investment firms is available free of charge through the **AdvisorReport** service. Information on how to make dealer, advisor or marketplace-related complaints is available by calling 1-877-442-4322.

CIRO investigates possible misconduct by its member firms and individual registrants. It can bring disciplinary proceedings which may result in sanctions including fines, suspensions, permanent bars, expulsion from membership, or termination of rights and privileges for individuals and firms.

SOURCE Canadian Investment Regulatory Organization (CIRO)