



NEWS RELEASE

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MFDA Panel makes findings against George Pretty and issues Decision and Reasons (Misconduct)

January 31, 2014 (Toronto, Ontario) – A Hearing Panel of the MFDA’s Atlantic Regional Council has issued its Decision and Reasons (Misconduct) in connection with a disciplinary hearing held in Corner Brook, Newfoundland in the matter of Arthur George Pretty.

The parties completed their submissions with respect to conduct on October 8, 2013, at which time the Hearing Panel advised that it would announce its decision and issue written reasons in due course. In its Decision and Reasons (Misconduct), dated January 30, 2014, the Hearing Panel found that the three (3) allegations made against the Respondent in the Notice of Hearing dated August 31, 2012 had been established and directed that submissions with respect to penalty will take place on a date to be announced.

A copy of the [Decision and Reasons \(Misconduct\)](#) is available on the MFDA website at www.mfda.ca. During the period described in the Notice of Hearing, the Respondent carried on business in the Corner Brook, Newfoundland area.

The MFDA is the self-regulatory organization for Canadian mutual fund dealers, regulating the operations, standards of practice and business conduct of its 112 Members and their approximately 80,000 Approved Persons with a mandate to protect investors and the public interest. For more information about the MFDA’s complaint and enforcement processes, as well as links to ‘Check an Advisor’ and other Investor Tools, visit the [For Investors](#) page on the MFDA website.

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