



NEWS RELEASE

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MFDA Hearing Panel accepts settlement agreement in the matter of Kathryn Nokony

October 11, 2016 (Toronto, Ontario) – A settlement hearing in the matter of Kathryn Dee Nokony (the “Respondent”) was held on October 6, 2016 in Vancouver, British Columbia before a three-member Hearing Panel of the Pacific Regional Council of the Mutual Fund Dealers Association of Canada (“MFDA”). The Hearing Panel accepted the settlement agreement (the “Settlement Agreement”) between Staff of the MFDA and the Respondent, as a consequence of which the Respondent:

- has paid a fine in the amount of \$11,500;
- has paid costs in the amount of \$2,500; and
- in the future, the Respondent shall comply with all MFDA By-laws, Rules and Policies and all applicable securities legislation and regulations made thereunder including MFDA Rule 2.1.1.

In the Settlement Agreement, the Respondent admitted that:

- (a) between May 2014 and March 2015, the Respondent obtained, possessed, and used to process trades, 5 pre-signed account forms in respect of five (5) clients, contrary to MFDA Rule 2.1.1;
- (b) between May 2014 and March 2015, the Respondent falsified, and used to process trades, four (4) account forms in respect of two (2) clients, by altering the account forms without having the clients initial the alterations, contrary to MFDA Rule 2.1.1; and
- (c) on November 4, 2014, the Respondent misled the Member on its annual registration questionnaire when she indicated to the Member that she did not control or possess any pre-signed account forms, contrary to MFDA Rule 2.1.1.

A copy of the [Settlement Agreement](#) is available on the MFDA website at www.mfda.ca. During the period described in the Settlement Agreement, the Respondent carried on business in Vancouver, British Columbia.

The MFDA is the self-regulatory organization for Canadian mutual fund dealers, regulating the operations, standards of practice and business conduct of its Members and their approximately 83,000 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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