



NEWS RELEASE

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MFDA announces next appearance in the matter of George Pretty

March 13, 2014 (Toronto, Ontario) – The Mutual Fund Dealers Association of Canada (“MFDA”) commenced a disciplinary proceeding in respect of Arthur George Pretty (“Respondent”) by Notice of Hearing (“Notice of Hearing”) dated August 31, 2012.

The parties completed their submissions with respect to conduct on October 8, 2013. The Hearing Panel subsequently issued its [Decision and Reasons \(Misconduct\)](#) on January 30, 2014, in which the Panel found that the allegations made against the Respondent in the Notice of Hearing had been established and directed that the parties’ submissions with respect to penalty be heard on a date to be determined.

An appearance in this proceeding is scheduled to take place by teleconference on March 17, 2014 at 11:30 a.m. (Newfoundland), at which time a date for hearing the parties’ submissions with respect to penalty will be determined. The teleconference appearance will be open to the public, except as may be required for the protection of confidential matters.

A copy of the [Notice of Hearing](#) is available on the MFDA website at www.mfda.ca.

The MFDA is the self-regulatory organization for Canadian mutual fund dealers, regulating the operations, standards of practice and business conduct of its 111 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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