



Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

**IN THE MATTER OF A DISCIPLINARY HEARING
PURSUANT TO SECTIONS 20 AND 24 OF BY-LAW NO. 1 OF
THE MUTUAL FUND DEALERS ASSOCIATION OF CANADA**

Re: Joseph Daniel Laurie

ORDER

WHEREAS on March 10, 2014, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing pursuant to sections 20 and 24 of MFDA Bylaw No. 1 in respect of a disciplinary proceeding commenced against Joseph Daniel Laurie (the “Respondent”);

AND WHEREAS the Respondent has filed a Reply;

AND WHEREAS the parties have each delivered disclosure;

AND WHEREAS the first appearance in this proceeding took place on May 21, 2014 via teleconference before one public representative of a Regional Council acting on behalf of a Hearing Panel of the Atlantic Regional Council of the MFDA;

AND WHEREAS the second appearance in this proceeding took place on October 21, 2014 via teleconference before the fully empanelled Hearing Panel (the “Hearing Panel”);

AND UPON hearing the submissions of counsel for the Respondent and counsel for Staff of the MFDA (“Staff”) at the second appearance with respect to amending the Notice of Hearing, new proposed dates for the hearing on the merits, and other matters;

IT IS HEREBY ORDERED THAT:

1. The hearing dates of January 12-16, 2015 and January 19-23, 2015 are vacated;
2. The deadline for Staff to serve and file an amended Notice of Hearing is February 9, 2015;
3. The Respondent shall serve and file an amended Reply to the amended Notice of Hearing, if any, by March 9, 2015;
4. Staff shall provide disclosure, if any, to the Respondent by March 30, 2015, in accordance with Rule 10.1 of the MFDA *Rules of Procedure*;
5. The Respondent shall provide disclosure to Staff, if any, by April 13, 2015, in accordance with Rule 10.2 of the MFDA *Rules of Procedure*;
6. Staff shall provide a witness list and willsay statements to the Respondent by May 4, 2015, in accordance with Rule 11 of the MFDA *Rules of Procedure*;
7. The Respondent shall provide a witness list and willsay statements to Staff by May 11, 2015, in accordance with Rule 11 of the MFDA *Rules of Procedure*;
8. March 20, 2015 is scheduled as a “to be spoken to” teleconference appearance date before the Hearing Panel;
9. The Hearing on the Merits is scheduled to proceed on June 1-5, 2015 and June 8-12, 2015

commencing each day at 10:00 a.m. (Atlantic) or as soon thereafter as possible, in Nova Scotia, at a venue to be announced.

DATED this 21st day of October, 2014.

“Thomas J. Lockwood”

Thomas J. Lockwood, Q.C.
Chair

“John Maguire”

John Maguire
Industry Representative

“Susan Nixon”

Susan Nixon
Industry Representative

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