



**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: Farm Mutual Financial Services Inc.**

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**ORDER**

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**WHEREAS** on June 2, 2008, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing pursuant to sections 20 and 24 of MFDA By-law No. 1 in respect of a disciplinary proceeding commenced against Farm Mutual Financial Services Inc. (the “Respondent”);

**AND WHEREAS** the Respondent was served with the Notice of Hearing on June 2, 2008 in accordance with Rule 4.2(1)(c) of the MFDA *Rules of Procedure*;

**AND WHEREAS** the first appearance in this hearing took place before a Hearing Panel of the Central Regional Council of the MFDA (the “Hearing Panel”) on June 27, 2008;

**AND WHEREAS** both counsel for the Respondent and counsel for the MFDA (“Staff”) made submissions to the Hearing Panel at the first appearance with respect to scheduling and other procedural matters;

**IT IS HEREBY ORDERED THAT:**

- (i) the Respondent shall serve and file a Reply in accordance with MFDA Rule of Procedure 8.2 on or before August 15, 2008 in respect of Allegations 5 and 6 in the Notice of Hearing;
- (ii) a pre-hearing motion to be brought by the Respondent shall be heard by the Hearing Panel on September 9, 2008, in respect of which:
  - (a) the Respondent shall serve and file a Notice of Motion in accordance with MFDA Rule of Procedure 6.4 on or before August 11, 2008;
  - (b) the Respondent shall serve and file a Motion Record in accordance with MFDA Rule of Procedure 6.6 on or before August 18, 2008; and
  - (c) Staff shall serve and file a Responding Record in accordance with MFDA Rule of Procedure 6.8 on or before August 29, 2008;
- (iii) Staff shall, on or before September 30, 2008, provide the Respondent with copies of all documents, and a list of items other than documents, in respect of Allegations 5 and 6 in the Notice of Hearing upon which Staff intends to rely at the hearing of those matters on the merits;
- (iv) the Respondent and Staff may appear before the Hearing Panel on October 31, 2008 and make submissions as to the conduct of the hearing on the merits and other procedural matters, including the question of whether the hearing on the merits ought to proceed on December 8, 9 and 10, 2008;
- (v) subject to any further Order of the Hearing Panel, the hearing of this matter on its merits shall take place before the Hearing Panel on December 8, 9 and 10, 2008; and
- (vi) all appearances before the Hearing Panel set out in this Order shall be open to the public, take place in the hearing room located at the offices of the MFDA at 121 King Street West, Suite 1000, Toronto, Ontario, and commence at

10:00 a.m. (Toronto), or as soon thereafter as the appearance can be held.

**DATED** this 27<sup>th</sup> day of June, 2008.

Per: “Thomas J. Lockwood”  
Thomas J. Lockwood, Q.C., Chair

Per: “Guenther Kleberg”  
Guenther Kleberg, Industry Representative

Per: “Sandy Grant”  
Sandy Grant, Industry Representative

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