



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: Carmen G. Moerike

ORDER

WHEREAS on June 22, 2009, 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 Carmen G. Moerike (the “Respondent”);

AND WHEREAS the first appearance in this proceeding took place by teleconference before a hearing panel of the Prairie Regional Council of the MFDA (the “Hearing Panel”) on Wednesday, August 5, 2009;

AND WHEREAS the Respondent and Staff made submissions to the Hearing Panel at the first appearance with respect to scheduling and other procedural matters;

IT IS HEREBY ORDERED THAT:

1. In the event that the parties are able to reach a settlement agreement, a settlement hearing in this matter shall take place before the Hearing Panel on Friday, November 13, 2009 at 10:00 a.m. (Central) in Regina, Saskatchewan at a location to be announced.

2. Should a settlement agreement not be reached, the parties shall reconvene, by teleconference, to determine a date for a hearing of this matter on its merits.

DATED this 5th day of August, 2009.

Per: “Garrett Wilson”
Garrett Wilson, Q.C., Chair

Per: “Kathleen Jost”
Kathleen Jost, Industry Representative

Per: “Alan Caplan”
Alan Caplan, Industry Representative