



**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: Anu Bala Jain**

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**ORDER**

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**WHEREAS** on December 16, 2011, 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 Anu Bala Jain (the “Respondent”);

**AND WHEREAS** on December 16, 2011, with the consent of the Respondent’s counsel, the Respondent’s counsel was served with a copy of the Notice of Hearing by e-mail in accordance with Rule 4.2(1)(c) and (d) of the MFDA Rules of Procedure and on December 19, 2011, a hard copy of the Notice of Hearing was sent to the Respondent’s counsel by courier;

**AND WHEREAS** in January 2012, the Respondent requested and was granted an extension of time to file a Reply to the Notice of Hearing;

**AND WHEREAS** the first appearance in this proceeding took place by teleconference before a hearing panel of the Central Regional Council of the MFDA (the “Hearing Panel”) on February 8, 2012;

**AND WHEREAS** counsel for 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. The next appearance in this proceeding is scheduled to take place on February 27, 2012 at 10:00 a.m., or as soon thereafter as the appearance can be held.

2. If the parties reach a settlement agreement prior to the next appearance, a Settlement Hearing can be held by oral hearing in person in the hearing room located at the offices of the MFDA at 121 King Street West, Suite 1000, Toronto, Ontario when the hearing resumes. If the parties do not reach a settlement, the next appearance can proceed by teleconference and the parties may seek directions from the Hearing Panel or raise procedural or scheduling matters that should be dealt with prior to the hearing on the merits.

**DATED** this 8<sup>th</sup> day of February, 2012.

“John Webber”

The Hon. John Webber, Q.C.,  
Chair

“Brigitte Geisler”

Brigitte Geisler,  
Industry Representative

“Susan Schulze”

Susan Schulze,  
Industry Representative