



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 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 (the “Hearing Panel”), pursuant to section 19.13(b) of MFDA Bylaw No. 1;

AND WHEREAS the Respondent has not filed a Reply;

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

IT IS HEREBY ORDERED THAT:

1. The Respondent has been appropriately served with the Notice of Hearing in accordance with Rule 4.2(1)(c) of the MFDA *Rules of Procedure*;
2. The Respondent shall serve and file a Reply by June 13, 2014;
3. Staff shall provide disclosure to the Respondent by September 30, 2014, in accordance with Rule 10.1 of the MFDA *Rules of Procedure*;
4. The Respondent shall provide disclosure to Staff by September 30, 2014, in accordance with Rule 10.2 of the MFDA *Rules of Procedure*;
5. Staff shall provide a witness list and willsay statements to the Respondent by December 15, 2014, in accordance with Rule 11 of the MFDA *Rules of Procedure*;
6. The Respondent shall provide a witness list and willsay statements to Staff by December 22, 2014, in accordance with Rule 11 of the MFDA *Rules of Procedure*;
7. The following dates are scheduled as “to be spoken to” teleconference appearance dates before the Hearing Panel, which, if no longer necessary, will be released on consent of the parties and with notice to the MFDA Senior Hearings Coordinator:
 - a. June 20, 2014; and
 - b. October 21, 2014;
8. The Hearing on the Merits is scheduled to proceed on January 12 - 16, 2015 and January 19 - 23, 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 May, 2014.

“Thomas Lockwood”

Thomas Lockwood, Q.C.
Chair

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