



**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: Christopher Raymond Phillips**

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**ORDER**

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**WHEREAS** on October 6, 2014, 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 Christopher Raymond Phillips (the “Respondent”);

**AND WHEREAS** the Respondent delivered a Reply to the Notice of Hearing;

**AND WHEREAS** on November 19, 2014, the first appearance in this proceeding was held 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 s. 19.13 of MFDA By-Law No. 1;

**AND WHEREAS** the Respondent did not participate in the first appearance on November 19, 2014, either personally or through a lawyer or an agent, although properly served with notice of the first appearance as shown by the affidavit of service of Frank Perry sworn

October 20, 2014;

**AND WHEREAS** at the first appearance on November 19, 2014, Staff of the MFDA requested that the venue of the hearing on the merits be moved from Fredericton to Saint John, New Brunswick, and made submissions to the Hearing Panel with respect to scheduling and procedural matters;

**IT IS HEREBY ORDERED THAT:**

1. The venue of the hearing on the merits is moved from Fredericton to Saint John, New Brunswick.
2. The hearing on the merits shall take place on March 10, 2015, at 10:00 a.m. (Atlantic), or as soon thereafter as the hearing can be held, at a venue to be announced in Saint John, New Brunswick.

**DATED** this 19<sup>th</sup> day of November, 2014.

“Edward Keyes”

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Edward Keyes  
Chair

DM 406840 v2