



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: Rodney M. Warren

ORDER

(ARISING FROM APPEARANCE ON DECEMBER 1, 2015)

WHEREAS on October 15, 2015, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing pursuant to sections 20 and 24 of By-law No. 1 in respect of a disciplinary proceeding commenced against Rodney M. Warren (the “Respondent”);

AND WHEREAS the Notice of Hearing was served on the Respondent by courier on October 28, 2015;

AND WHEREAS the first appearance in this proceeding took place by teleconference before the Chair of a hearing panel of the Pacific Regional Council of the MFDA (the “Hearing Panel”) on December 1, 2015 at 10:00 a.m. (Pacific), in accordance with s. 19.13(b) of MFDA By-law No. 1;

AND WHEREAS counsel for Staff of the MFDA (“Staff”) and the Respondent agreed on a schedule prior to the first appearance and made submissions to the Chair of the Hearing Panel at the first appearance with respect to scheduling and other procedural matters;

IT IS HEREBY ORDERED THAT:

1. Staff shall provide pre-hearing disclosure, including copies of all documents, and a list of all items other than documents, that Staff intends to rely on at the hearing of this matter on its merits, in accordance with Rule 10 of the MFDA Rules of Procedure, by no later than January 15, 2016;
2. The Respondent shall provide pre-hearing disclosure, including copies of all documents, and a list of all items other than documents, that the Respondent intends to rely on at the hearing of this matter on its merits, in accordance with Rule 10 of the MFDA Rules of Procedure, by no later than February 15, 2016;
3. Staff shall provide the Respondent with Staff's witness list and a summary of the evidence that each witness is expected to give at the hearing of this matter on the merits, in accordance with Rule 11 of the MFDA Rules of Procedure, by no later than April 5, 2016;
4. The Respondent shall provide Staff with the Respondent's witness lists and a summary of the evidence that each witness is expected to give at the hearing of this matter on the merits, in accordance with Rule 11 of the MFDA Rules of Procedure, by no later than April 12, 2016; and
5. Subject to any further order of the Hearing Panel, the hearing of this matter on its merits shall take place before the Hearing Panel in Vancouver, British Columbia, at a location to be determined, commencing on Monday May 2, 2016 at 10:00 am (Pacific) to Friday May 6, 2016, or as soon thereafter as the matter can be heard.

DATED this 1st day of December, 2015.

“Stephen D. Gill”

Stephen D. Gill
Chair