



**Mutual Fund Dealers Association of Canada**  
Association canadienne des courtiers de fonds mutuels

**IN THE MATTER OF A SETTLEMENT HEARING  
PURSUANT TO SECTION 24.4 OF BY-LAW NO. 1 OF  
THE MUTUAL FUND DEALERS ASSOCIATION OF CANADA**

**Re: Adam Alexander Aleshka**

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**ORDER**

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**WHEREAS** the Respondent entered into a settlement agreement with Staff of the MFDA, dated October 5, 2015 (the “Settlement Agreement”), in which the Respondent agreed to a proposed settlement of matters for which the Respondent could be disciplined pursuant to ss. 20 and 24.1 of By-law No. 1;

**AND WHEREAS** the Hearing Panel is of the opinion that, between February 20, 2012 and February 16, 2014, the Respondent obtained and used 29 pre-signed partially completed or photocopied versions of pre-signed partially completed forms in respect of 14 client accounts, contrary to MFDA Rule 2.1.1(c);

**IT IS HEREBY ORDERED THAT** the Settlement Agreement is accepted, as a consequence of which:

1. If at any time a non-party to this proceeding requests production of, or access to, any materials filed in, or the record of, this proceeding, including all exhibits and transcripts, then the MFDA Corporate Secretary shall not provide copies of, or access to, the requested documents to

the non-party without first redacting from them any and all intimate financial or personal information, pursuant to Rules 1.8(2) and (5) of the MFDA *Rules of Procedure*;

2. the Respondent shall pay a fine in the amount of \$5,000, pursuant to section 24.1.1(b) of By-law No. 1;

3. the Respondent shall pay costs in the amount of \$2,500, pursuant to section 24.2 of By-law No. 1; and

4. the Respondent shall in the future comply with MFDA Rule 2.1.1(c).

**DATED** this 27<sup>th</sup> day of October, 2015.

“Sherri Walsh”

Sherri Walsh  
Chair

“M. Elaine Bradley”

M. Elaine Bradley  
Industry Representative

“Marc Albert”

Marc Albert  
Industry Representative

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