



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: Anthony Carty

ORDER

(ARISING FROM SETTLEMENT HEARING ON APRIL 28, 2016)

WHEREAS on December 16, 2015, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Settlement Hearing pursuant to section 24.4 of By-law No. 1 in respect of Anthony Carty (the “Respondent”);

AND WHEREAS the Respondent entered into a settlement agreement with Staff of the MFDA, dated February 10th, 2016 (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 December 2010 and October 2013, the Respondent obtained and used to process transactions, 13 pre-signed Redemption Request forms in respect of 2 clients.

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

1. The Respondent shall pay a fine in the amount of \$5,000 pursuant to s.24.1.1(b) of MFDA By-law No. 1 (the “Fine”);
2. The Respondent shall pay costs in the amount of \$2,500 pursuant to s. 24.2 of MFDA By-law No. 1 (“Costs”);
3. The Fine and Costs together shall be payable in 12 equal installments, the first of which is due on the date of the Settlement Hearing, the remaining 11 installments due on the last business day of the 11 months following the date of the Settlement Hearing;
4. The Respondent shall in future comply with MFDA Rule 2.1.1; and
5. 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*.

DATED this 28th day of April, 2016.

“Paul M. Moore”

Paul M. Moore, Q.C.
Chair

“Colleen Waring”

Colleen Waring
Industry Representative

“Robert C. White”

Robert C. White
Industry Representative

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