



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: James Gerard Carney

ORDER

(ARISING FROM FIRST APPEARANCE ON SEPTEMBER 13, 2016)

WHEREAS on June 28, 2016, 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 James Gerard Carney (the “Respondent”);

AND WHEREAS on August 4, 2016, the Notice of Hearing was served on counsel for the Respondent;

AND WHEREAS on September 13, 2016, the first appearance in this proceeding was held by teleconference before one public representative of a Regional Council acting on behalf of a hearing panel of the Central Regional Council of the MFDA (the “Hearing Panel”), pursuant to section 19.13(b) of MFDA By-law No. 1;

AND WHEREAS counsel for Staff of the MFDA and counsel for the Respondent attended the first appearance by teleconference and made submissions to the Hearing Panel with respect to scheduling and other procedural matters;

IT IS HEREBY ORDERED THAT:

1. the hearing of this matter on its merits shall take place before the Hearing Panel in the hearing room located at 121 King Street West, Suite 1000, Toronto, Ontario on April 18-20, 2017, commencing daily at 10:00 a.m. (Eastern), or as soon thereafter as the matter can be heard.

DATED this 13th day of September, 2016.

“W.A. Derry Millar”

W.A. Derry Millar
Chair

DM 502500 v1