



NEWS RELEASE

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MFDA issues Notice of Settlement Hearing in respect of Anthony Carty

February 29, 2016 (Toronto, Ontario) – The Mutual Fund Dealers Association of Canada (“MFDA”) announced that it has issued a Notice of Settlement Hearing regarding the presentation, review and consideration of a proposed settlement agreement by a Hearing Panel of the MFDA’s Central Regional Council.

The settlement agreement will be between Staff of the MFDA and Anthony Carty (the “Respondent”) and involves matters for which the Respondent may be disciplined by a Hearing Panel pursuant to MFDA By-laws. The proposed settlement agreement concerns allegations that between December 2010 and October 2013, the Respondent obtained and used to process transactions, 12 pre-signed account forms in respect of two (2) clients, contrary to MFDA Rule 2.1.1.

The settlement hearing is scheduled to take place on April 28, 2016, commencing at 10:00 a.m. (Eastern), or as soon thereafter as the matter can be held, in the hearing room at the offices of the MFDA, located at 121 King Street West, Suite 1000, Toronto, Ontario. The proceeding will be open to the public, unless and to the extent that the Hearing Panel determines that all or part of the hearing should proceed in the absence of the public. If the Hearing Panel accepts the settlement agreement, then a copy of the decision of the Hearing Panel and the settlement agreement will be made available to the public.

A copy of the [Notice of Settlement Hearing](#) is available on the MFDA website at www.mfda.ca. During the period described in the Notice of Settlement Hearing, the Respondent carried on business in the Greater Toronto Area.

The MFDA is the self-regulatory organization for Canadian mutual fund dealers, regulating the operations, standards of practice and business conduct of its Members and their approximately 83,000 Approved Persons with a mandate to protect investors and the public interest. For more information about the MFDA’s complaint and enforcement processes, as well as links to ‘Check an Advisor’ and other Investor Tools, visit the [For Investors](#) page on the MFDA website.