



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: Chad Mackenzie Peters

NOTICE OF SETTLEMENT HEARING

NOTICE is hereby given that a hearing will be held before a hearing panel of the Central Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) in the hearing room located at 121 King Street West, Suite 1000, Toronto, Ontario on March 19, 2012 at 10:00 a.m. (Eastern), or as soon thereafter as the hearing can be held, to consider whether, pursuant to section 24.4 of By-law No. 1 of the MFDA, the Hearing Panel should accept the settlement agreement (the “Settlement Agreement”) entered into between Staff of the MFDA and Chad Mackenzie Peters (the “Respondent”).

The subject matter of the proposed Settlement Agreement concerns matters for which the Respondent may be disciplined as an Approved Person of the MFDA, pursuant to ss. 20 and 24.1.1 of By-law No. 1 of the MFDA.

PARTICULARS

1. The proposed Settlement Agreement concerns allegations that:
 - i) on or about December 22, 2010, the Respondent completed parts of an account opening document for a client and falsified the signature of the client on the document, contrary to MFDA Rule 2.1.1; and
 - ii) on or about December 23, 2010, the Respondent interfered with the ability of the Member to conduct a reasonable supervisory investigation of his conduct by providing a false response to the Member in the course of its investigation, before admitting to the falsification, contrary to MFDA Rules 1.1.2, 2.5.1, and MFDA Rule 2.1.1.

2. The hearing 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 copies of the decision of the Hearing Panel and the Settlement Agreement will be made available to the public.

DATED this 13th day of March, 2012.

“Jason D. Bennett”

Jason D. Bennett
Corporate Secretary

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