



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: Peiqing (Anna) He, Christina Lin,
Keith Kee-Peng Tan and Yue Brenda Zhou**

**NOTICE OF SETTLEMENT HEARING
(Keith Kee-Peng Tan)**

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 MFDA hearing room located at 121 King Street West, Suite 1000, Toronto, Ontario on January 22, 2013 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 MFDA By-law No. 1, the Hearing Panel should accept the settlement agreement (the “Settlement Agreement”) entered into between Staff of the MFDA and Keith Kee-Peng Tan (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 from September 2008 to March 2009, the Respondent received referral fees in the amount of approximately \$2,800 in respect of the sale of a security by another individual to two clients outside the Member, contrary to MFDA Rules 2.4.2 and 2.1.1.

2. The hearing is 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 17th day of January, 2013.

“Jason D. Bennett”

Jason D. Bennett
Corporate Secretary

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