



**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: Kenneth Rattenbury**

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**NOTICE OF SETTLEMENT HEARING**

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**NOTICE** is hereby given that a hearing will be held before a hearing panel of the Prairie Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) in the hearing room located at the Shaw Conference Centre, 9797 Jasper Avenue Northwest, Edmonton, Alberta on October 17, 2012 at 10:00 a.m. (Mountain), 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 Kenneth Rattenbury (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 MFDA By-law No. 1.

## **PARTICULARS**

1. The proposed Settlement Agreement concerns allegations that the Respondent, between August 26, 2004 and November 18, 2010, maintained and used 63 photocopies of trade instruction forms signed by clients in blank to process trades in the accounts of 10 clients, thereby failing to observe high standards of ethics and conduct in the transaction of business, contrary to MFDA Rule 2.1.1(b).

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 26<sup>th</sup> day of September, 2012.

“Jason D. Bennett”

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Jason D. Bennett  
Corporate Secretary

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