



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: Kimberly Ann Haylock

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 June 18, 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 Kimberly Ann Haylock (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 between February 17, 2010 and November 25, 2011, the Respondent engaged in personal financial dealings with client MB by borrowing approximately \$2,200 from client MB, which amount remained outstanding until November 25, 2011, thereby giving rise to a conflict or potential conflict of interest between the interests of the Respondent and the interests of client MB, which the Respondent failed to ensure was addressed by the exercise of responsible business judgment influenced only by the best interests of client MB, contrary to MFDA Rule 2.1.4.

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 10th day of June, 2013.

“Jason D. Bennett”

Jason D. Bennett
Corporate Secretary

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