



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: Domenic Pizzimenti

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”) at the MFDA offices located at 121 King Street West, Suite 1000, Toronto, Ontario on November 20, 2013 at 1:00 p.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 Domenic Pizzimenti (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 sections 20 and 24.1.1 of By-law No. 1 of the MFDA.

PARTICULARS

1. The proposed Settlement Agreement concerns allegations that the Respondent, from June 20, 2009 to May 3, 2010, obtained and used four blank or partially completed pre-signed forms to complete transactions for two clients, all of which was known to and authorized by the clients, contrary to MFDA Rule 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 16th day of September, 2013.

“Bernadette Devine”

Bernadette Devine

Assistant Corporate Secretary

Mutual Fund Dealers Association of Canada

121 King Street West, Suite 1000

Toronto, Ontario

M5H 3T9

Telephone: 416-943-7436

Facsimile: 416-361-9781

Email: corporatesecretary@mfd.ca

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