



**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: Mansu Ding**

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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 Central Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) in the hearing room, at the MFDA offices, located at 121 King Street West, Suite 1000, Toronto, Ontario on June 17, 2015 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 Mansu Ding (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 between June 2006 and April 2013, the Respondent:

- a) obtained, maintained, and in some instances, used to process trades, 96 blank pre-signed order entry forms in respect of 22 clients; and
- b) altered and used to process trades, two (2) order entry forms in respect of two (2) 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 3<sup>rd</sup> day of June, 2015.

“Sarah Rickard”

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Sarah Rickard  
Director of Regional Councils

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