



**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: William Richardson**

---

**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 MFDA offices located at 121 King Street West, Suite 1000, Toronto, Ontario on September 24, 2015 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 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 William Robert Charles Richardson (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 Settlement Agreement concerns allegations that between January 2010 and December 2014, the Respondent:

- a) obtained and possessed, 13 blank pre-signed account forms in respect of 10 clients contrary to MFDA Rule 2.1.1; and
- b) failed to accurately respond to Investors Group's Annual Attestations by incorrectly affirming that he did not obtain or possess any pre-signed forms 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 September, 2015.

“Sarah Rickard”

---

Sarah Rickard  
Director of Regional Councils  
Mutual Fund Dealers Association of Canada  
121 King Street West, Suite 1000  
Toronto, ON M5H 3T9  
Telephone: 416-945-5143  
Facsimile: 416-361-9781  
Email: [corporatesecretary@mfda.ca](mailto:corporatesecretary@mfda.ca)

DM 443338 v2