



**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 Zukiwski**

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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 offices of the MFDA, located at 121 King Street West, Suite 1000, Toronto, Ontario on February 25, 2016 at 10:00 a.m. (Eastern), or as soon thereafter as the matter can be heard, 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 Kenneth Zukiwski (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 January 2011 and January 2014, the Respondent:

- a) obtained, possessed, and used to process transactions, 12 pre-signed account forms in respect of 4 clients, contrary to MFDA Rule 2.1.1;
- b) altered and used to process transactions, 3 client account forms in respect of 2 clients, contrary to MFDA Rule 2.1.1; and
- c) on four occasions, failed to accurately respond to the Member's annual compliance inquiries by incorrectly responding 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 9<sup>th</sup> day of November, 2015.

“Sarah Rickard”

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