



**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: Robert John Kent**

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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 Atlantic Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) on March 4, 2016 at 10:00 a.m. (Newfoundland), or as soon thereafter as the matter can be heard, at a venue to be announced in St. John’s Newfoundland, to consider whether, pursuant to section 24.4 of MFDA By-law No. 1, the Hearing Panel should accept a settlement agreement (the “Settlement Agreement”) entered into between Staff of the MFDA and Robert John Kent (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 about April 2013 and July 2014, the Respondent obtained, and used to process trades, 11 pre-signed Order Instructions forms in respect of 8 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 13<sup>th</sup> day of November, 2015.

“Sarah Rickard”

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