



**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: Gurpreet Singh Bansal**

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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 Pacific Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) in the hearing room at the British Columbia Securities Commission, located at 1200-701 West Georgia Street, Vancouver, British Columbia, on January 6, 2016 at 10:00 a.m. (Pacific), 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 Gurpreet Singh Bansal (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 July 12, 2012 and December 10, 2013, the Respondent obtained, maintained and used 87 pre-signed account forms in order to process transactions on behalf of 37 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 10<sup>th</sup> day of December, 2015.

“Sarah Rickard”

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