



**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: John Joseph Moakler**

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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 May 17, 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 John Moakler (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 the Respondent processed trades in client accounts:

- (a) in some cases, without the knowledge, authorization or approval of the clients and thereby engaged in unauthorized discretionary trading, contrary to MFDA Rules 2.3.1(a) and 2.1.1; and
- (b) in some other cases failed to maintain adequate records of any instructions that he received from clients in respect of the transactions and any fee or risk disclosure that he provided to the clients in respect of the trades, contrary to MFDA Rules 5.1(b) and 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 18<sup>th</sup> day of January, 2016.

“Sarah Rickard”

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