



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: Melissa Marie Smith

NOTICE OF SETTLEMENT HEARING

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”) in the hearing room at the Nova Scotia Securities Commission, located at 5251 Duke Street, Suite 400, Duke Tower, Halifax, Nova Scotia on October 20, 2016 at 10:00 a.m. (Atlantic), 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 Melissa Marie Smith (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, (i) between March 2014 and February 2015, the Respondent altered and, in 17 instances, used to process transactions, 20 account forms in respect of 2 clients by using photocopies of previously signed signature pages from other forms or altering previously used account forms, and (ii) between March 2014 and October 2014, the Respondent obtained and possessed 1 pre-signed account form in respect of 1 client, 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 16th day of June, 2016.

“Sarah Rickard”

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