



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: Tanis Karen Techer

NOTICE OF SETTLEMENT HEARING

NOTICE is hereby given that a hearing will be held before a hearing panel of the Prairie Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) in the hearing room at Delta Hotels Edmonton Centre Suites, located at, 10222 – 102 Street, Edmonton, Alberta on November 3, 2016 at 10:00 a.m. (Mountain), 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 Tanis Karen Techer (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:
 - a) on or about September 8, 2011, the Respondent falsified and used to process a transaction, one (1) client account form in relation to one (1) client, by altering the client account form without having the client initial the alteration, contrary to MFDA Rule 2.1.1; and
 - b) between January 24, 2012 and March 10, 2015, the Respondent obtained, possessed and, in two (2) instances, used to process transactions, eight (8) pre-signed client account forms in relation to four (4) 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 26th day of August, 2016.

“Sarah Rickard”

Sarah Rickard
Director of Regional Councils
Mutual Fund Dealers Association of Canada
121 King Street West, Suite 1000
Toronto, ON M5H 3T9
Telephone: 416-945-5143
Facsimile: 416-361-9781
Email: corporatesecretary@mfd.ca

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