



Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

**IN THE MATTER OF A DISCIPLINARY HEARING
PURSUANT TO SECTIONS 20 AND 24 OF BY-LAW NO. 1 OF
THE MUTUAL FUND DEALERS ASSOCIATION OF CANADA**

Re: James Edward Curtis

ORDER

(ARISING FROM FIRST APPEARANCE ON FEBRUARY 9, 2017)

WHEREAS on October 11, 2016, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing pursuant to sections 20 and 24 of MFDA Bylaw No. 1 in respect of a disciplinary proceeding commenced against James Edward Curtis (the “Respondent”);

AND WHEREAS the Respondent filed a Reply dated December 16, 2016;

AND WHEREAS the first appearance took place on January 26, 2017 via teleconference before one public representative of a Regional Council acting on behalf of a Hearing Panel of the Central Regional Council of the MFDA (the “Hearing Panel”), pursuant to section 19.13(b) of MFDA Bylaw No. 1;

AND WHEREAS at the first appearance the Hearing Panel heard the submissions of counsel for the Respondent and counsel for Staff of the MFDA (“Staff”) with respect to various procedural matters including service of the Notice of Hearing on the Respondent; the filing of the Reply; proposed dates for the provision of disclosure and willsay statements; and proposed dates for the hearing on the merits;

AND WHEREAS at the first appearance, counsel for Staff submitted that Staff may amend the Notice of Hearing;

AND WHEREAS the Hearing Panel made an Order dated January 26, 2017 regarding various procedural matters, including scheduling the Hearing on the Merits to proceed on October 16-20, 2017 at 10:00 a.m. (Eastern) each day, or as soon thereafter as possible;

AND WHEREAS the second appearance took place on February 9, 2017 via teleconference before one public representative of a Regional Council, at which time counsel for Staff advised that Staff intends to issue an amended Notice of Hearing;

IT IS HEREBY ORDERED THAT:

1. Staff shall deliver an amended Notice of Hearing by March 17, 2017;
2. The Respondent shall deliver an amended Reply, if any, by April 13, 2017;
3. All other dates set out in the Order dated January 26, 2017 shall remain fixed;
4. Should either of the parties require a matter to be addressed by the Hearing Panel, an appearance may be scheduled.

DATED this 9th day of February, 2017.

“W. A. Derry Millar”

W. A. Derry Millar
Chair