



**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: Claude David Fox-Revett**

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**ORDER**

(ARISING FROM FIRST APPEARANCE ON MAY 23, 2017)

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**WHEREAS** on February 21, 2017, the Mutual Fund Dealers Association of Canada (“MFDA”) issued a Notice of Hearing pursuant to sections 20 and 24 of MFDA By-law No. 1 in respect of a disciplinary proceeding commenced against Claude David Fox-Revett (“Respondent”);

**AND WHEREAS** the Respondent was served with the Notice of Hearing, as it appears from the Affidavit of Robert Hastings sworn on April 28, 2017;

**AND WHEREAS** on May 10, 2017, the Respondent filed a Reply to the Notice of Hearing;

**AND WHEREAS** the first appearance in this hearing was held by teleconference before a hearing panel of the Central Regional Council of the MFDA (“Hearing Panel”) on May 23, 2017 (“First Appearance”);

**AND WHEREAS** counsel for Staff of the MFDA (“Staff”) and counsel for the Respondent attended the First Appearance and made submissions with respect to scheduling and other procedural matters;

**IT IS HEREBY ORDERED THAT:**

1. Staff shall make best efforts to provide the Respondent with copies of all documents and items that Staff intends to rely on at the hearing of this proceeding on its merits (the “Hearing”) on or before June 9, 2017, in accordance with Rule 10 of the MFDA *Rules of Procedure*;
2. The next appearance in this proceeding shall take place by teleconference on July 12, 2017 at 10:00 a.m., or as soon thereafter as the matter can be heard, for the purpose of providing an update on the status of the proceeding;
3. Subject to any further order of the Hearing Panel, the Hearing shall take place before the Hearing Panel on October 24 to 27, 2017;
4. All appearances before the Hearing Panel set out in this Order shall be open to the public, take place in the hearing room located at the offices of the MFDA at 121 King Street West, Suite 1000, Toronto, Ontario and commence at 10:00 a.m. (Toronto), or as soon thereafter as the appearance can be held; and

5. If at any time a non-party to this proceeding, with the exception of the bodies set out in section 23 of MFDA By-law No. 1, requests production of or access to exhibits in this proceeding that contain personal information as defined by the MFDA Privacy Policy, then the MFDA Corporate Secretary shall not provide copies of or access to the requested exhibits to the non-party without first redacting from them any and all personal information, pursuant to Rules 1.8(2) and (5) of the MFDA *Rules of Procedure*.

**DATED** this 23<sup>rd</sup> day of May, 2017.

“John Lorn McDougall”  
John Lorn McDougall, Q.C.  
Chair

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