



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: Hong Lam

ORDER

(ARISING FROM FIRST APPEARANCE ON MARCH 22, 2018)

WHEREAS on January 8, 2018, 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 Hong Lam (“Respondent”);

AND WHEREAS the Respondent was served with the Notice of Hearing, as it appears from the Affidavit of Christopher Maniaci sworn on March 2, 2018; and the Affidavit of Terri Ash sworn on March 9, 2018;

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 March 22, 2018 (“First Appearance”);

AND WHEREAS no one attended the First Appearance on behalf of the Respondent;

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

IT IS HEREBY ORDERED THAT:

1. the hearing of this proceeding on its merits shall take place before the Hearing Panel from September 18 to 19, 2018, commencing at 10:00 a.m. (Eastern) each day, or as soon thereafter as the matter can be heard, in the hearing room located at the offices of the MFDA at 121 King Street West, Suite 1000, Toronto, Ontario; and
2. 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 22nd day of March, 2018.

“Martin L. Friedland”

Martin L. Friedland, CC, QC
Chair

DM 609067