



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: Emily Yu

ORDER

(ARISING FROM SETTLEMENT HEARING ON APRIL 2, 2019)

WHEREAS on March 29, 2018, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing pursuant to section 24.4 of By-law No. 1 in respect of Emily Yu (the “Respondent”);

AND WHEREAS the Respondent entered into a settlement agreement with Staff of the MFDA, dated March 21, 2019 (the “Settlement Agreement”), in which the Respondent agreed to a proposed settlement of matters for which the Respondent could be disciplined pursuant to ss. 20 and 24.1 of By-law No. 1;

AND WHEREAS the Hearing Panel is of the opinion that,

- a) in or around October 2015, the Respondent altered two account forms in respect of one client by altering information on the account forms without having the client initial the alterations, contrary to MFDA Rule 2.1.1.

IT IS HEREBY ORDERED THAT the Settlement Agreement is accepted, as a consequence of which:

1. the Respondent shall pay costs of \$1,500 in certified funds upon acceptance of the Settlement Agreement, pursuant to Section 24.1.1(b) of MFDA Bylaw No. 1;
2. the Respondent shall successfully complete the Conduct and Practices Handbook course offered by the Canadian Securities Institute within 6 months of the date when this Settlement Agreement is accepted by a Hearing Panel of the MFDA;
3. if the Respondent fails to comply with paragraph (2) of this Order, then without further notice to the Respondent, the Respondent shall summarily be prohibited from conducting securities related business until she has complied with paragraph (2) of the Order; and
4. 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 2nd day of April, 2019.

“Thomas R. Braidwood”

The Hon. Thomas R. Braidwood, QC
Chair

“Michelle Leung”

Michelle Leung
Industry Representative

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