



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: Robyn Courtney Kee

ORDER

(ARISING FROM SETTLEMENT HEARING ON MARCH 31, 2020)

WHEREAS on March 6, 2020, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Settlement Hearing pursuant to section 24.4 of By-law No. 1 in respect of Robyn Courtney Kee (the “Respondent”);

AND WHEREAS the Respondent entered into a settlement agreement with Staff of the MFDA, dated March 5, 2020 (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 between October 2017 and October 2018, the Respondent:

- a) cut and pasted one client signature from a previously completed account form onto a new account form; and
- b) on five occasions, photocopied the signature page from a previously completed account form and attached it to a new account form,

and submitted the new account forms to the Member for processing, 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 be prohibited from conducting securities related business in any capacity while in the employ of or associated with a Member of the MFDA for a period of 6 months, pursuant to s. 24(e) of MFDA By-law No.1;
2. The Respondent shall pay costs in the amount of \$2,500 in certified funds upon acceptance of the Settlement Agreement, pursuant to s. 24.2 of MFDA By-law No.1 in installments as follows:
 - a) \$500 upon acceptance of this Settlement Agreement by the Hearing Panel;
 - b) \$333.33, on or before the last business day of the second month following the acceptance of the Settlement Agreement by the Hearing Panel;
 - c) \$333.33, on or before the last business day of the fourth month following the acceptance of the Settlement Agreement by the Hearing Panel;
 - d) \$333.33, on or before the last business day of the sixth month following the acceptance of the Settlement Agreement by the Hearing Panel;
 - e) \$333.33, on or before the last business day of the eighth month following the acceptance of the Settlement Agreement by the Hearing Panel;
 - f) \$333.33, on or before the last business day of the tenth month following the acceptance of the Settlement Agreement by the Hearing Panel; and
 - g) \$333.33, on or before the last business day of the twelfth month following the acceptance of the Settlement Agreement by the Hearing Panel;
3. The Respondent shall in the future comply with MFDA Rule 2.1.1; 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 31st day of March, 2020.

“Paul Moore”

Paul Moore, QC
Chair

“Kenneth P. Mann”

Kenneth P. Mann
Industry Representative

“Rob Christianson”

Rob Christianson
Industry Representative

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