



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: Alan Truong

NOTICE OF SETTLEMENT HEARING

NOTICE is hereby given that a hearing will be held before a hearing panel of the Pacific Regional Council (“Hearing Panel”) of the Mutual Fund Dealers Association of Canada (“MFDA”) in the hearing room at the British Columbia Securities Commission, 1200-701 West Georgia Street, Vancouver, British Columbia on April 25, 2019 at 10:00 a.m. (Pacific), or as soon thereafter as the matter can be heard, to consider whether, pursuant to section 24.4 of By-law No. 1 of the MFDA, the Hearing Panel should accept the settlement agreement (“Settlement Agreement”) entered into between Staff of the MFDA and Alan Truong (“Respondent”).

The subject matter of the proposed Settlement Agreement concerns matters for which the Respondent may be disciplined as an Approved Person of the MFDA, pursuant to ss. 20 and 24.1.1 of By-law No. 1 of the MFDA.

PARTICULARS

1. The proposed Settlement Agreement concerns allegations that the Respondent:
 - a) between January 22, 2016 and June 14, 2016, signed the signatures of 4 clients on 4 account forms and submitted the forms to the Member for processing, contrary to MFDA Rule 2.1.1; and
 - b) on March 31, 2016, misled the Member on its quarterly compliance certificate when he falsely indicated to the Member that he did not sign client signatures, contrary to MFDA Rule 2.1.1.

2. MFDA settlement hearings are typically held in the absence of the public pursuant to section 20.5 of MFDA By-law No. 1 and Rule 15.2(2) of the MFDA *Rules of Procedure*.

DATED this 4th day of January, 2019.

“Bernadette Devine”

Bernadette Devine
Assistant Corporate Secretary

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