

Notice of Settlement Hearing

File No. 202019



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: Tanya Francesca Castelino

NOTICE OF SETTLEMENT HEARING

NOTICE is hereby given that a hearing will be held before a hearing panel of the Central Regional Council (“Hearing Panel”) of the Mutual Fund Dealers Association of Canada (“MFDA”) in the hearing room at the offices of the MFDA, 121 King Street West, Suite 1000, Toronto, Ontario on June 4, 2020 at 10:00 a.m. (Eastern), 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 Tanya Francesca Castelino (the “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 the allegations that that Respondent:
 - a) between February 8, 2018 and April 4, 2018, signed the signature or initials of four clients on three account forms, and submitted the forms to the Member for processing, contrary to MFDA Rule 2.1.1; and
 - b) on May 14, 2018 and May 28, 2018, misled the Member during its investigation into her conduct when she falsely stated that she did not sign the signature or initials of clients on account forms, 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 19th day of March, 2020.

“Michelle Pong”

Michelle Pong
Director, Regional Councils

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