



CIRO · OCRI

Canadian Investment
Regulatory
Organization

Organisme canadien
de réglementation
des investissements

Notice of Settlement Hearing

File No. 202431

IN THE MATTER OF
THE MUTUAL FUND DEALER RULESⁱ
and
Jacqueline Lynn Hodge

NOTICE OF SETTLEMENT HEARING

NOTICE is hereby given that a hearing will be held electronically by videoconference before a hearing panel of the Alberta District Hearing Committee (the “Hearing Panel”) of the Canadian Investment Regulatory Organization (“CIRO”) on January 22, 2025, at 10:00 a.m. (Mountain Time) or as soon thereafter as the hearing can be held, to consider whether, pursuant to Mutual Fund Dealer Rule 7.4.4, the Hearing Panel should accept the settlement agreement (the “Settlement Agreement”) entered into between Staff of CIRO and Jacqueline Lynn Hodge (the “Respondent”).

The subject matter of the proposed Settlement Agreement concerns matters for which the Respondent may be disciplined as an Approved Person of CIRO, pursuant to Rules 7.3 and 7.4.1.1 of the Mutual Fund Dealer Rules.

PARTICULARS

1. The proposed Settlement Agreement concerns allegations that:¹
 - a. Between June 17, 2021 and May 4, 2022, the Respondent opened three client accounts, processed transactions, and recorded a client’s

¹ On December 31, 2021, amendments to Rule 2.2.1 came into effect. As the conduct addressed in this proceeding commenced prior to the amendment to the Rule and continued after the amendment, the versions of MFDA Rule 2.2.1 that were in effect prior to December 31, 2021 and afterward until May 4, 2022 are applicable this proceeding.

Know Your Client information, based on the instructions of someone other than the client or without the client's authorization, contrary to MFDA Rules 2.1.1 and 2.2.1.

- b. Between July 22, 2021 and April 14, 2022, the Respondent signed the signature of a client on two documents and permitted someone other than the client to sign a client's signature on a document, contrary to MFDA Rule 2.1.1.

2. Settlement hearings of CIRO are typically held in the absence of the public pursuant to Mutual Fund Dealer Rule 7.3.5 and Rule 15.2(2) of the Mutual Fund Dealer Rules of Procedure. If the Hearing Panel accepts the settlement agreement, then the proceeding will become open to the public and a copy of the decision of the Hearing Panel and the settlement agreement will be made available at www.ciro.ca.

DATED this 19th day of December, 2024.

"Michelle Pong"

Michelle Pong
Director, Hearings

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ⁱ On January 1, 2023, the Investment Industry Regulatory Organization of Canada ("IIROC") and the Mutual Fund Dealers Association of Canada (the "MFDA") were consolidated into a single self-regulatory organization recognized under applicable securities legislation that is called the Canadian Investment Regulatory Organization (referred to herein as "CIRO"). CIRO adopted interim rules that incorporate the pre-amalgamation regulatory requirements contained in the rules and policies of IIROC and the by-law, rules and policies of the MFDA (the "Interim Rules"). The Interim Rules include (i) the Investment Dealer and Partially Consolidated Rules, (ii) the UMIR and (iii) the Mutual Fund Dealer Rules. These rules are largely based on the rules of IIROC and certain by-laws, rules and policies of the MFDA that were in force immediately prior to amalgamation. Where the rules of IIROC and the by-laws, rules and policies of the MFDA that were in force immediately prior to amalgamation have been incorporated into the Interim Rules, Enforcement Staff have referenced the relevant section of the Interim Rules. Pursuant to Mutual Fund Dealer

Rule 1A and s.14.6 of By-Law No. 1 of CIRO, contraventions of former MFDA regulatory requirements may be enforced by CIRO.