



Now New Self-Regulatory Organization of Canada, a consolidation of IIROC and the MFDA

**IN THE MATTER OF
THE MUTUAL FUND DEALER RULES
and
Roxanne Marie Carter**

ORDER

(ARISING FROM THE FIRST APPEARANCE ON MARCH 14, 2023)

WHEREAS on December 22, 2022, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing pursuant to sections 20 and 24 of MFDA By-law No. 1 (now Mutual Fund Dealer Rules 7.3 and 7.4) in respect of a disciplinary proceeding commenced against Roxanne Marie Carter (the “Respondent”);

AND WHEREAS on December 22, 2022, with the consent of the Respondent, the Notice of Hearing was served on the Respondent by email;

AND WHEREAS on January 1, 2023, the MFDA and the Investment Industry Regulatory Organization of Canada (“IIROC”) consolidated to form the New Self-Regulatory Organization of Canada (the “Corporation”);

AND WHEREAS on March 14, 2023, the first appearance was held by videoconference before one public representative of a hearing committee acting on behalf of a hearing panel of the Ontario District Hearing Committee of the Corporation (the “Hearing Panel”), pursuant to section 19.13(b) of MFDA By-law No. 1 (now Mutual Fund Dealer Rule 7.2.4(b)), which permits one public representative to be designated to act on behalf of a Hearing Panel for the purpose of hearing and determining any procedural matter;

AND WHEREAS Counsel for Staff of the Corporation (“Staff”) and the Respondent, attended the first appearance by videoconference to address scheduling and other procedural matters and upon hearing the submissions of the parties;

IT IS HEREBY ORDERED THAT:

1. In accordance with Rule 8.1 of the Mutual Fund Dealer *Rules of Procedure (the “ROP”)*, the Respondent shall serve on Staff and file a Reply to the Notice of Hearing on or before April 28, 2023;
2. In accordance with Rule 10.1 of the ROP, Staff shall provide documentary disclosure to the Respondent on or before May 12, 2023 unless the parties sign an agreed statement of facts prior to that date;
3. In accordance with Rule 10.2 of the ROP, the Respondent shall provide documentary disclosure to Staff on or before May 26, 2023 unless the parties sign an agreed statement of facts prior to that date;
4. In accordance with Rule 11 of the ROP, Staff and the Respondent shall provide each party with a witness list and a witness statement for each witness that the party intends to call at the hearing on the merits on or before June 9, 2023 unless the parties sign an agreed statement of facts prior to that date;
5. Subject to any further Order of the Hearing Panel, the hearing of this matter on its merits shall take place by videoconference on June 27, 2023 commencing at 10:00 a.m. (Eastern), or as soon thereafter as the matter can be heard; and
6. If at any time a non-party to this proceeding, with the exception of the bodies set out in Mutual Fund Dealer Rule 6.3, requests production of or access to exhibits in this proceeding that contain personal information as defined by the Corporation’s Privacy Policy, then the Corporate Secretary’s Office, Mutual Fund Dealer Division of the Corporation shall not provide to the non-party, copies of or access to the requested exhibits without first redacting from them any and all personal information, pursuant to Rules 1.8(2) and (5) of the ROP.

DATED this 14th day of March, 2023.

“Thomas Lockwood”

Thomas Lockwood, K.C.
Chair

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