



Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

**IN THE MATTER OF A DISCIPLINARY HEARING
PURSUANT TO SECTIONS 20 AND 24 OF BY-LAW NO. 1 OF
THE MUTUAL FUND DEALERS ASSOCIATION OF CANADA**

Re: Jingshan (Sarah) He

ORDER

(ARISING FROM AN INTERIM APPEARANCE ON JULY 12, 2022)

WHEREAS on July 12, 2022, an appearance in this proceeding was held before one public representative of a Regional Council acting on behalf of a hearing panel of the Pacific Regional Council of the MFDA (the “Hearing Panel”), pursuant to s. 19.13 of MFDA By-Law No. 1, which permits one public representative of a Regional Council to be designated to act on behalf of a Hearing Panel for the purpose of hearing and determining any procedural matter or motion relating to the conduct of a disciplinary hearing including, setting hearing dates, and making any other orders or directions that a Hearing Panel is authorized to make under the MFDA *Rules of Procedure*, except a final determination of a disciplinary proceeding;

AND WHEREAS the Hearing Panel heard submissions of enforcement counsel for MFDA Staff and counsel for the Respondent;

IT IS HEREBY ORDERED THAT:

1. MFDA Staff shall provide disclosure to the Respondent in accordance with Rule 10 of the *Rules of Procedure* by no later than September 9, 2022.
2. The Respondent shall provide disclosure to MFDA Staff in accordance with Rule 10 of the *Rules of Procedure* by no later than September 23, 2022.

3. Both MFDA Staff and the Respondent shall provide any witness lists, witness statements, transcripts, or summaries of expected evidence pursuant to Rule 11 of the MFDA *Rules of Procedure* by no later than September 30, 2022.

DATED this 12th day of July, 2022.

“Michael Carroll”

Michael Carroll, Q.C.
Chair

DM 894830