



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: William James Treble

NOTICE OF SETTLEMENT HEARING

NOTICE is hereby given that an electronic hearing will be held before a hearing panel of the Prairie Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) on September 30, 2021 at 10:00 a.m. (Mountain) or as soon thereafter as the hearing can be held, to consider whether, pursuant to section 24.4 of By-law No. 1 of the MFDA, the Hearing Panel should accept the settlement agreement (the “Settlement Agreement”) entered into between Staff of the MFDA and William James Treble (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 sections 20 and 24.1.1 of By-law No. 1 of the MFDA.

PARTICULARS

1. The proposed Settlement Agreement concerns allegations that:
 - a) between February 15, 2018 and March 6, 2019, the Respondent obtained, possessed, and used to process transactions, 11 pre-signed account forms in respect of 8 clients, contrary to MFDA Rule 2.1.1; and
 - b) between January 21, 2015 and March 28, 2019, the Respondent altered and used to process transactions, 15 account forms in respect of 13 clients, by altering information on the account forms without having the client initial the alterations, 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. 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.mfda.ca.

DATED this 30th day of July, 2021.

“Michelle Pong”

Michelle Pong
Director, Regional Councils

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