



**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: Joel Henry Attis**

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**ORDER**

(ARISING FROM FIRST APPEARANCE ON FEBRUARY 25, 2020)

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**WHEREAS** on December 18, 2019, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing (“Notice of Hearing”) pursuant to sections 20 and 24 of MFDA Bylaw No. 1 in respect of a disciplinary proceeding commenced against Joel Henry Attis (the “Respondent”);

**AND WHEREAS** on January 2, 2020, the Notice of Hearing was served on counsel for the Respondent;

**AND WHEREAS** on January 21, 2020, the Respondent served a Reply and later filed the Reply;

**AND WHEREAS** on February 25, 2020, the first appearance was held via teleconference before one public representative of a Regional Council acting on behalf of a Hearing Panel of the Atlantic Regional Council of the MFDA, pursuant to section 19.13(b) of MFDA Bylaw No. 1;

**AND UPON** hearing the submissions of counsel for the Respondent and counsel for Staff of the MFDA (“Staff”) at the first appearance with respect to various matters;

**IT IS HEREBY ORDERED THAT:**

1. If at any time a non-party to this proceeding, with the exception of the bodies set out in section 23 of MFDA By-law No. 1, requests production of or access to exhibits in this proceeding that contain personal information as defined by the MFDA Privacy Policy, then the MFDA Corporate Secretary shall not provide copies of or access to the requested exhibits to the non-party without first redacting from them any and all personal information, pursuant to Rules 1.8(2) and (5) of the MFDA *Rules of Procedure*;
2. Staff shall provide disclosure to the Respondent by May 29, 2020, in accordance with Rule 10.1 of the MFDA *Rules of Procedure*;
3. The Respondent shall provide disclosure to Staff (if any), in accordance with Rule 10.2 of the MFDA *Rules of Procedure* by June 26, 2020;
4. Staff shall provide a witness list and will-say statements to the Respondent by July 17, 2020, in accordance with Rule 11 of the MFDA *Rules of Procedure*;
5. The Respondent shall provide a witness list and will-say statements to Staff by July 31 2020, in accordance with Rule 11 of the MFDA *Rules of Procedure*; and
6. The Hearing on the Merits is scheduled to proceed before the Hearing Panel on September 16-18, 2020 at 10:00 a.m., each day, in Moncton, New Brunswick.

**DATED** this 25<sup>th</sup> day of February, 2020.

“Thomas J. Lockwood”  
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Thomas J. Lockwood, QC  
Chair

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