



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: Nhat Nick Trieu

ORDER

(ARISING FROM THE FIRST APPEARANCE ON APRIL 28, 2022)

WHEREAS on March 14, 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 in respect of a disciplinary proceeding commenced against Nhat Nick Trieu (the “Respondent”);

AND WHEREAS the first appearance in this hearing was held before a Chair of a hearing panel of the Central Regional Council of the MFDA (the “Hearing Panel”) on April 28, 2022 in accordance with s. 19.13(b) of MFDA By-law No. 1;

AND WHEREAS both Counsel for Staff and Counsel for the Respondent attended the first appearance by videoconference on April 28, 2022 to address scheduling and other procedural matters and jointly proposed the following schedule for the continuation of the proceeding;

IT IS HEREBY ORDERED THAT:

1. In accordance with Rule 8.1 of the MFDA *Rules of Procedure*, the Respondent shall provide a Reply to the Notice of Hearing to Staff on or before May 18, 2022;
2. In accordance with Rule 10.1 of the MFDA *Rules of Procedure*, Staff shall provide documentary disclosure to the Respondent on or before June 24, 2022;

3. In accordance with Rule 10.2 of the MFDA *Rules of Procedure*, the Respondent shall provide documentary disclosure to Staff on or before July 15, 2022;
4. In accordance with Rule 11.1 of the MFDA *Rules of Procedure*, both Staff and the Respondent shall provide each other with a witness list, and for each witness that the party intends to call at the hearing on the merits, a corresponding transcript, signed witness statement or a summary of the evidence that the witness is expected to give at the hearing by August 3, 2022; and
5. Subject to any further Order of the Hearing Panel, the Hearing on the Merits shall take place by electronic hearing on August 19, 2022, commencing at 10:00 a.m. (Eastern) or as soon thereafter as the matter can be heard.

DATED this 28th day of April, 2022.

“Frederick W. Chenoweth”

Frederick W. Chenoweth

Chair

DM 886325