



**CIRO · OCRI**

Canadian Investment  
Regulatory  
Organization

Organisme canadien  
de réglementation  
des investissements

Order

File No. 202312

**IN THE MATTER OF**  
**THE MUTUAL FUND DEALER RULES**  
**and**  
**Samantha Cauvier**

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**ORDER**

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**WHEREAS** on June 9, 2023, the Canadian Investment Regulatory Organization (“CIRO”)] issued a Notice of Hearing pursuant to Mutual Fund Dealer Rules 7.3 and 7.4 in respect of a disciplinary proceeding commenced against Samantha Cauvier (the “Respondent”);

**AND WHEREAS** on June 20, 2023, Staff of CIRO (“Staff”) served a copy of the Notice of Hearing on the Respondent by sending a copy to the Respondent’s counsel with the consent of counsel in accordance with Rule 4.2(c) of the Mutual Fund Dealer Rules of Procedure (the “ROP”);

**AND WHEREAS** on July 10, 2023, the Respondent served and filed a Reply to the Notice of Hearing in accordance with Rule 8.1(1) of the ROP;

**AND WHEREAS** on July 17, 2023, the first appearance in this hearing was held electronically by videoconference before one public representative of a district hearing committee acting on behalf of a hearing panel of the Ontario District Hearing Committee of CIRO (the “Hearing Panel”), pursuant to 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 and the Respondent's Counsel attended the first appearance by videoconference to address scheduling and other procedural matters and upon hearing the oral submissions of the parties;

**IT IS HEREBY ORDERED THAT:**

1. In accordance with Rule 10.1 of the ROP, Staff shall provide documentary disclosure to the Respondent on or before August 25, 2023;
2. In accordance with Rule 10.2 of the ROP, the Respondent shall provide documentary disclosure to Staff on or before September 15, 2023;
3. 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 October 13, 2023;
4. An interim appearance shall take place before the Hearing Panel electronically by videoconference on September 21, 2023 at 10:00am (Eastern), or as soon thereafter as the appearance can be held;
5. Subject to any further Order of the Hearing Panel, the hearing of this matter on its merits shall take place electronically by videoconference on November 14, 2023, commencing at 10:00am (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 CIRO's Privacy Policy, then the Corporate Secretary's Office, Mutual Fund Dealer Division of CIRO 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 17<sup>th</sup> day of July, 2023.

“Emily Cole”

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Emily Cole,  
Chair