



**CIRO · OCRI**

Canadian Investment  
Regulatory  
Organization

Organisme canadien  
de réglementation  
des investissements

**Notice of Settlement Hearing**

**File No. 202320**

**IN THE MATTER OF  
THE MUTUAL FUND DEALER RULES<sup>i</sup>  
and  
Miranda Sirri Che**

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**NOTICE OF SETTLEMENT HEARING**

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**NOTICE** is hereby given that a hearing will be held electronically by videoconference before a hearing panel of the Saskatchewan District (the “Hearing Panel”) of the Canadian Investment Regulatory Organization (“CIRO”) on October 10, 2023, at 10:00 am Central Standard Time or as soon thereafter as the hearing can be held, to consider whether, pursuant to Mutual Fund Dealer Rule 7.4.4, the Hearing Panel should accept the settlement agreement (the “Settlement Agreement”) entered into between Staff of CIRO and Miranda Sirri Che (the “Respondent”).

The subject matter of the proposed Settlement Agreement concerns matters for which the Respondent may be disciplined as an Approved Person of CIRO, pursuant to Rules 7.3 and 7.4.1.1 of the Mutual Fund Dealer Rules.

**PARTICULARS**

1. The proposed Settlement Agreement concerns the allegation that:

a) between January 15, 2021 and March 11, 2021, the Respondent signed the signatures of six clients on 8 account forms and submitted the account forms to

the Dealer Member for processing, contrary to Mutual Fund Dealer Rule 2.1.1 (formerly MFDA Rule 2.1.1).<sup>1</sup>

2. Settlement hearings of CIRO are typically held in the absence of the public pursuant to Mutual Fund Dealer Rule 7.3.5 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](http://www.mfda.ca).

**DATED** this 3rd day of August, 2023.

“Michelle Pong”

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Michelle Pong  
Director, District Hearing Committees,  
Mutual Fund Dealer Division

Canadian Investment Regulatory Organization  
121 King Street West, Suite 1000  
Toronto, ON M5H 3T9  
Telephone: 416-945-5143  
Email: [corporatesecretary@mfda.ca](mailto:corporatesecretary@mfda.ca)

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<sup>i</sup> On January 1, 2023, the Investment Industry Regulatory Organization of Canada (“IIROC”) and the Mutual Fund Dealers Association of Canada (the “MFDA”) were consolidated into a single self-regulatory organization recognized under applicable securities legislation that is called the Canadian Investment Regulatory Organization (referred to herein as “CIRO”). CIRO adopted interim rules that incorporate the pre-amalgamation regulatory requirements contained in the rules and policies of IIROC and the by-law, rules and policies of the MFDA (the “Interim Rules”). The Interim Rules include (i) the Investment Dealer and Partially Consolidated Rules, (ii) the UMIR and (iii) the Mutual Fund Dealer Rules. These rules are largely based on the rules of IIROC and certain by-laws, rules and policies of the MFDA that were in force immediately prior to amalgamation. Where the rules of IIROC and the by-laws, rules and policies of the MFDA that were in force immediately prior to amalgamation have been incorporated into the Interim Rules, Enforcement Staff have referenced the relevant section of the Interim Rules. Pursuant to Mutual Fund Dealer Rule 1A and s.14.6 of By-Law No. 1 of CIRO, contraventions of former MFDA regulatory requirements may be enforced by CIRO.

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<sup>1</sup> At the time of the conduct addressed in this proceeding, MFDA Rule 2.1.1 was in effect and are now incorporated into Mutual Fund Dealer Rule 2.1.1 referred to in this proceeding.