



**IN THE MATTER OF
THE MUTUAL FUND DEALER RULES
and
Miranda Sirri Che**

ORDER

WHEREAS on August 3, 2023, the Canadian Investment Regulatory Organization (“CIRO”) issued a Notice of Settlement Hearing pursuant to Mutual Fund Dealer Rule 7.4.4 in respect of a disciplinary proceeding against Miranda Sirri Che (the “Respondent”) that was scheduled to take place on October 10, 2023 before a hearing panel of the Saskatchewan District Hearing Committee of CIRO (the “Hearing Panel”);

AND WHEREAS the Respondent entered into a settlement agreement with Staff of CIRO (“Staff”) dated August 2, 2023 (the “Settlement Agreement”), in which the Respondent agreed to a proposed settlement of matters for which the Respondent could be disciplined pursuant to Mutual Fund Dealer Rules 7.3 and 7.4.1;

AND WHEREAS on October 3, 2023, CIRO provided notice to the public that the Settlement Hearing in respect of the Respondent would take place on October 10, 2023 by publishing the Notice of Settlement Hearing;

AND WHEREAS Staff made a request to the Hearing Panel pursuant to Rule 2.2.(1)(a) of the Mutual Fund Dealer Rules of Procedure (the “ROP”) for the abridgement of the ten day notice period required by Rule 15.2 of the ROP in order to permit the Hearing Panel to proceed with the Settlement Hearing on October 10, 2023;

AND WHEREAS based upon the admissions of the Respondent in the Settlement Agreement, the Hearing Panel is of the opinion that:

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).

IT IS HEREBY ORDERED THAT the ten day notice period required according to Rule 15.2 of the ROP is abridged in accordance with Rules 1.3, 1.5 and 2.2(1)(a) of the ROP and the Settlement Agreement is accepted, as a consequence of which:

1. The Respondent is prohibited from conducting securities related business in any capacity while in the employ of or associated with any Dealer Member of the Corporation registered as a mutual fund dealer for a period of three months, commencing on the date of this Order, pursuant to Mutual Fund Dealer Rule 7.4.1.1(e);
2. The Respondent shall pay costs in the amount of \$5,000 in certified funds on the date of this Order, pursuant Mutual Fund Dealer Rule 7.4.2.
3. The Respondent shall pay a fine in the amount of \$14,000 (the “Fine”), pursuant to Mutual Fund Dealer Rule 7.4.1.1(b) which shall be payable to CIRO in 11 monthly instalments in accordance with the following schedule:
 - (a) \$1,300 (Fine) on or before November 30, 2023;
 - (b) \$1,300 (Fine) on or before December 29, 2023;
 - (c) \$1300 (Fine) on or before January 31, 2024;
 - (d) \$1300 (Fine) on or before February 29, 2024;
 - (e) \$1300 (Fine) on or before March 29, 2024;
 - (f) \$1300 (Fine) on or before April 30, 2024;

- (g) \$1300 (Fine) on or before May 31 2024;
- (h) \$1300 (Fine) on or before June 28, 2024;
- (i) \$1300 (Fine) on or before July 31, 2024;
- (j) \$1300 (Fine) on or before August 30, 2024; and
- (k) \$1000 (fine) on or before September 30, 2024.

4. If the Respondent fails to make any of the payments described above in paragraph 3 above when the payments become due, then the full outstanding balance of the Fine that the Respondent has not yet paid shall become immediately due and payable to CIRO;

5. The Respondent shall in the future comply with Mutual Fund Dealer Rule 2.1.1; 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 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 Mutual Fund Dealer Rules of Procedure.

DATED this 10 day of October, 2023.

"Sherri Walsh"
Sherri Walsh, Chair

"Annette Stephens"
Annette Stephens, Industry Representative

"James Samanta"
James Samanta, Industry Representative

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