



IN THE MATTER OF
THE MUTUAL FUND DEALER RULESⁱ
and
Autumn Kaylee Farmer

ORDER

(ARISING FROM THE FIRST APPEARANCE ON MAY 5, 2023)

WHEREAS on March 27, 2023, the New Self-Regulatory Organization of Canada (the “Corporation”) issued a Notice of Hearing pursuant to Mutual Fund Dealer Rules 7.3 and 7.4 in respect of a disciplinary proceeding commenced against Autumn Kaylee Farmer (the “Respondent”);

AND WHEREAS on March 13, 2023, the Respondent provided Staff of the Corporation (“Staff”) with her written consent to accept service of the Notice of Hearing by email;

AND WHEREAS on April 12, 2023, Staff served a copy of the Notice of Hearing on the Respondent by email;

AND WHEREAS on April 13, 2023, the Respondent confirmed in writing that she had received and accepted service of the Notice of Hearing by email;

AND WHEREAS in accordance with Rule 2.2(1)(b) of the Mutual Fund Dealer Rules of Procedure (the “ROP”) the parties consent to the abridgement of the time for service of the Notice of Hearing even though it was served less than 30 days prior to the first appearance as required by Rule 7.1(2) of the ROP;

AND WHEREAS the Respondent has not yet delivered a Reply to the Notice of Hearing as required by Rule 8.1(1) of the ROP;

AND WHEREAS on May 5, 2023, the first appearance in this hearing was held by videoconference before one public representative of a hearing committee acting on behalf of a hearing panel of the Nova Scotia District Committee of the Corporation (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 attended the first appearance by videoconference to address scheduling and other procedural matters;

AND UPON READING the affidavit of service of Terri Ash and hearing the submissions of the parties;

IT IS HEREBY ORDERED THAT:

1. In accordance with Rules 2.2(1) and 7.1(2) of the ROP, the time for service of the Notice of Hearing on the Respondent is abridged to permit Staff’s service of the Notice of Hearing on the Respondent on April 12, 2023, less than 30 days prior to the first appearance;
2. In accordance with Rule 8.1 of the ROP, the Respondent shall serve on Staff and file a Reply to the Notice of Hearing on or before Friday, June 2, 2023 unless the parties sign an agreed statement of facts prior to that date;
3. In accordance with Rule 10.1 of the ROP, Staff shall provide documentary disclosure to the Respondent on or before Friday, June 16, 2023 unless the parties sign an agreed statement of facts prior to that date;
4. In accordance with Rule 10.2 of the ROP, the Respondent shall provide documentary disclosure to Staff on or before Friday, June 30, 2023 unless the parties sign an agreed statement of facts prior to that date;

5. 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 Monday, July 10, 2023 unless the parties sign an agreed statement of facts prior to that date;

6. Subject to any further Order of the Hearing Panel, the hearing of this matter on its merits shall take place by videoconference on Thursday, July 27, 2023, commencing at 10:00 a.m. (Atlantic), or as soon thereafter as the matter can be heard; and

7. 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 the Corporation's Privacy Policy, then the Corporate Secretary's Office, Mutual Fund Dealer Division of the Corporation 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 5th day of May, 2023.

"Scott Peacock"

Scott Peacock

Chair

DM 905150

ⁱ 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. The New Self-Regulatory Organization of Canada (referred to herein as the "Corporation") 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, MFDA By-law No. 1 continues to be applicable to this proceeding and pursuant to Mutual Fund Dealer Rule 1A and s.14.6 of By-Law No.1 of the Corporation, contraventions of former MFDA regulatory requirements may be enforced by the Corporation.