



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: Stephen Scott Smockum

ORDER

(ARISING FROM THE HEARING ON THE MERITS ON JULY 19, 2022)

WHEREAS on September 20, 2021, 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 Stephen Scott Smockum (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 November 19, 2021 in accordance with s. 19.13(b) of MFDA By-law No. 1;

AND WHEREAS both Counsel for Staff and the Respondent attended the first appearance by videoconference on November 19, 2021 to address scheduling and other procedural matters and jointly proposed the following schedule for the continuation of the proceeding;

AND WHEREAS the hearing of this matter on its merits was scheduled to occur on May 10-13, 2022;

AND WHEREAS, on May 3, 2022, the Chair of the Hearing Panel granted an adjournment of the hearing dates from May 10-13, 2022 to July 14, 2022;

AND WHEREAS on July 14, 2022, both Counsel for Staff and the Respondent attended before the Hearing Panel, at which appearance the Hearing Panel granted an adjournment of the hearing from July 14, 2022 to July 19, 2022;

AND WHEREAS on July 19, 2022, both Counsel for Staff and Counsel for the Respondent attended before the Hearing Panel and made submissions in respect of the date of the hearing of this matter on its merits.

IT IS HEREBY ORDERED THAT:

1. Subject to any further Order of the Hearing Panel, the hearing of this matter on its merits shall take place by electronic hearing on September 23, 2022, commencing at 10:00 a.m. (Eastern), or as soon thereafter as the matter can be heard.

DATED this 19th day of July, 2021.

“Robert P. Armstrong”

The Honorable Robert P. Armstrong, Q.C.
Chair

“Brigitte J. Geisler”

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Industry Representative

“Guenther W. K. Kleberg”

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Industry Representative

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