



**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**

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**ORDER**

(ARISING FROM THE FIRST APPEARANCE ON NOVEMBER 19, 2021)

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**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;

**IT IS HEREBY ORDERED THAT:**

1. In accordance with Rule 10.1 of the MFDA *Rules of Procedure*, Staff shall provide documentary disclosure to the Respondent on or before January 14, 2022;
2. In accordance with Rule 10.2 of the MFDA *Rules of Procedure*, the Respondent shall provide documentary disclosure to Staff on or before February 14, 2022;

3. Staff shall provide the Respondent with a witness list, and for each witness that Staff intends to call at the hearing on the merits, a corresponding transcript, signed witness statement or a summary of the evidence that the witness is expected to give at the hearing by March 14, 2022 in accordance with Rule 11.1 of the MFDA *Rules of Procedure*;

4. The Respondent shall provide Staff with a witness list, and for each witness that the Respondent intends to call at the hearing on the merits, a corresponding transcript, signed witness statement or a summary of the evidence that the witness is expected to give at the hearing by April 14, 2022 in accordance with Rule 11.1 of the MFDA *Rules of Procedure*; and

5. Subject to any further Order of the Hearing Panel, the Hearing on the Merits shall take place by electronic hearing on May 10-13, 2022, commencing at 10:00 a.m. (Eastern) each day, or as soon thereafter as the matter can be heard.

**DATED** this 19<sup>th</sup> day of November, 2021.

“Robert P. Armstrong”  
The Honorable Robert P. Armstrong, QC  
Chair

DM 856642