

## Notice of Settlement Hearing

File No. 202254



**Mutual Fund Dealers Association of Canada**  
Association canadienne des courtiers de fonds mutuels

**IN THE MATTER OF A SETTLEMENT HEARING  
PURSUANT TO SECTION 24.4 OF BY-LAW NO. 1 OF  
THE MUTUAL FUND DEALERS ASSOCIATION OF CANADA**

**Re: Christian Perrault**

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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 Central Regional Council (the “Hearing Panel”) of the Mutual Fund Dealers Association of Canada (the “MFDA”) on January 19, 2023 at 10:00 a.m. (Eastern), or as soon thereafter as the hearing can be held, to consider whether, pursuant to section 24.4 of By-law No. 1 of the MFDA, the Hearing Panel should accept the settlement agreement (the “Settlement Agreement”) entered into between Staff of the MFDA and Christian Perrault (the “Respondent”).

The subject matter of the proposed Settlement Agreement concerns matters for which the Respondent may be disciplined as an Approved Person of the MFDA, pursuant to sections 20 and 24.1.1 of By-law No. 1 of the MFDA.

## PARTICULARS

1. The proposed Settlement Agreement concerns allegations that the Respondent:
  - a) between January 19, 2015 and February 24, 2021, altered and used to process transactions, 30 account forms in respect of 22 clients, by altering information on the account forms without having the client initial the alterations, contrary to MFDA Rule 2.1.1; and
  - b) between August 3, 2016 and October 31, 2016, obtained, possessed and used to process transactions, 2 pre-signed account forms in respect of 2 clients, contrary to MFDA Rule 2.1.1.
  
2. MFDA settlement hearings are typically held in the absence of the public pursuant to section 20.5 of MFDA By-law No. 1 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 30<sup>th</sup> day of November, 2022.

“Michelle Pong”

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Michelle Pong  
Director, Regional Councils

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