



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: Charles Leigh Hogg

ORDER

(ARISING FROM THE FIRST APPEARANCE ON NOVEMBER 24, 2022)

WHEREAS on September 6, 2022, the Mutual Fund Dealers Association of Canada (the “MFDA”) issued a Notice of Hearing pursuant to sections 20 and 24 of By-law No. 1 in respect of a disciplinary proceeding commenced against Charles Leigh Hogg (the “Respondent”);

AND WHEREAS on November 24, 2022, the first appearance in this proceeding was held by videoconference before one public representative of a Regional Council acting on behalf of a hearing panel of the Central Regional Council of the MFDA (the “Hearing Panel”), pursuant to section 19.13(b) of MFDA By-law No. 1;

AND WHEREAS counsel for Staff of the MFDA and counsel for the Respondent attended the first appearance by videoconference and made submissions to the Hearing Panel with respect to scheduling and other procedural matters;

IT IS HEREBY ORDERED THAT:

1. The Respondent shall serve and file a Reply to the Notice of Hearing on or before November 28, 2022;

2. In accordance with Rule 10.1 of the MFDA *Rules of Procedure*, Staff shall provide documentary disclosure to the Respondent on or before February 14, 2023;
3. In accordance with Rule 10.2 of the MFDA *Rules of Procedure*, the Respondent shall provide documentary disclosure to Staff on or before March 14, 2023;
4. In accordance with Rule 11 of the MFDA *Rules of Procedure*, the parties shall exchange witness lists and summaries of expected evidence on or before April 25, 2023;
5. An interim appearance shall take place before the Hearing Panel by videoconference on May 9, 2023 at 10:00 a.m. (Eastern);
6. The hearing of this matter on its merits shall take place before the Hearing Panel electronically by videoconference on May 30, 2023 to June 2, 2023, commencing daily at 10:00 a.m. (Eastern); and
7. If at any time a non-party to this proceeding, with the exception of the bodies set out in section 23 of MFDA By-law No. 1, requests production of or access to exhibits in this proceeding that contain personal information as defined by the MFDA Privacy Policy, then the MFDA Corporate Secretary 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 MFDA *Rules of Procedure*.

DATED this 24th day of November, 2022.

“Joan Smart”

Joan Smart
Chair

DM 899123