



**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: Dennis Jerome Duclos**

---

**ORDER**

(ARISING FROM FIRST APPEARANCE ON JUNE 9, 2022)

---

**WHEREAS** on March 23, 2022, 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 Dennis Jerome Duclos (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 June 9 2022, in accordance with s. 19.13(b) of MFDA By-law No. 1;

**AND WHEREAS** both Counsel for Staff of the MFDA (“Staff”) and the Respondent attended the first appearance by videoconference on June 9, 2022 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 8.1 of the MFDA *Rules of Procedure*, the Respondent shall provide a Reply to the Notice of Hearing to Staff on or before September 12, 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 September 16, 2022;
3. In accordance with Rule 10.2 of the *MFDA Rules of Procedure*, the Respondent shall provide documentary disclosure to Staff on or before September 23, 2022;
4. Staff shall provide the Respondent with a witness list by October 3, 2022, and for each witness that Staff intends to call at the hearing on the merits, a corresponding transcript, signed witness statements or a summary of the evidence that the witness is expected to give at a hearing in accordance with Rule 11.1 of the *MFDA Rules of Procedure*;
5. The Respondent shall provide Staff with a witness list by October 3, 2022, and for each witness that the Respondent intends to call at the hearing on the merits, a corresponding transcript, signed witness statements or a summary of the evidence that the witness is expected to give at a hearing in accordance with Rule 11.1 of the *MFDA Rules of Procedure*;
6. Subject to any further Order of the Hearing Panel, the second appearance shall take place by videoconference on October 12, 2022, commencing at 10:00 a.m. (Eastern), or as soon thereafter as the matter can be heard.

**DATED** this 9<sup>th</sup> day of June, 2022.

“Thomas J. Lockwood”  
\_\_\_\_\_  
Thomas J. Lockwood, Q.C.  
Chair

DM 893862