Now New Self-Regulatory Organization of Canada, a consolidation of IIROC and the MFDA

IN THE MATTER OF

THE MUTUAL FUND DEALER RULES[i]

Re: Tyler Justin Comrie

ORDER

(ARISING FROM THE SETTLEMENT HEARING ON JANUARY 27, 2023)

WHEREAS on November 29, 2022, the Mutual Fund Dealers Association of Canada (the "MFDA") issued a Notice of Settlement Hearing pursuant to section 20 and 24 of MFDA By-law No. 1 in respect of a disciplinary proceeding commenced against Tyler Justin Comrie (the "Respondent");

AND WHEREAS the Respondent entered into a settlement agreement with Staff of the MFDA, January 25, 2023 (the "Settlement Agreement"), in which the Respondent agreed to a proposed settlement of matters for which the Respondent could be disciplined pursuant to section. 20 and 24.1 of MFDA By-law No. 1;

AND WHEREAS the Hearing Panel has been advised that the allegation in the Notice of Settlement Hearing has been varied in the Settlement Agreement.

AND WHEREAS based on the admissions of the Respondent in the Settlement Agreement, the Hearing Panel is of the opinion that the Respondent, between May 14, 2021 and May 18, 2021, cut and pasted a client's signature from copies of account forms previously signed by the client onto two new account forms and submitted the account forms to the Member for processing, contrary to MFDA Rule 2.1.1 [now Mutual Fund Dealer Rule 2.1.1].

IT IS HEREBY ORDERED THAT the Settlement Agreement is accepted, as a consequence of which:

1. The Respondent shall pay a fine in the amount of $10,000 in certified funds, upon acceptance of the Settlement Agreement, pursuant to s. 24.1.1(b) of MFDA By-law No. 1 [now Mutual Fund Dealer Rule 7.4.1.1];

2. The Respondent shall pay costs in the amount of $2,500 in certified funds, upon acceptance of the Settlement Agreement, pursuant to s. 24.2 of MFDA By-law No. 1 [now Mutual Fund Dealer Rule 7.4.2.];

3. The Respondent shall in the future comply with Mutual Fund Dealer Rule 2.1.1; and

4. If at any time a non-party to this proceeding, with the exception of the bodies set out in Rule 6.3 of the Mutual Fund Dealer Rules (formerly 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 Corporate Secretary's Office, Mutual Fund Dealer Division of the Corporation 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 27th day of January, 2023.

"Martin L. Friedland"
Martin L. Friedland, K.C.
Chair

"Robert Christianson"
Robert Christianson
Industry Representative

"Joseph Yassi"
Joseph Yassi
Industry Representative

DM 901315

[i] On January 1, 2023, the Investment Industry Regulatory Organization of Canada ("IIROC") and the Mutual Fund Dealers Association of Canada (the "MFDA") were consolidated into a single self-regulatory organization recognized under applicable securities legislation. The New Self-Regulatory Organization of Canada (referred to herein as the "Corporation") adopted interim rules that incorporate the pre-amalgamation regulatory requirements contained in the rules and policies of IIROC and the by-law, rules and policies of the MFDA (the "Interim Rules"). The Interim Rules include (i) the Investment Dealer and Partially

Consolidated Rules, (ii) the UMIR and (iii) the Mutual Fund Dealer Rules. These rules are largely based on the rules of IIROC and certain by-laws, rules and policies of the MFDA that were in force immediately prior to amalgamation. Pursuant to transition provisions in the Mutual Fund Dealer Rules (Rule 1A), MFDA By-law No. 1 continues to be applicable to this proceeding.