



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

**IN THE MATTER OF
THE MUTUAL FUND DEALER RULES¹**

and

Brent Michael Polischuk

ORDER

(ARISING FROM THE INTERIM APPEARANCE ON MARCH 6, 2023)

WHEREAS on April 7, 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 (now Mutual Fund Dealer Rules 7.3 and 7.4) in respect of a disciplinary proceeding commenced against Brent Michael Polischuk (the “Respondent”);

AND WHEREAS on July 12, 2022, January 30, 2023 and February 22, 2023, appearances in this proceeding took place electronically by videoconference to address scheduling and other procedural matters;

AND WHEREAS on March 3, 2023, counsel for the Respondent requested an appearance to request an adjournment of the hearing scheduled for March 7, 2023;

AND WHEREAS on March 6, 2023, in accordance with s. 19.13(b) of MFDA By-law No. 1 (now Mutual Fund Dealer Rule 7.2.4(b)), an appearance took place electronically by videoconference before one public representative of a hearing committee acting on behalf of a hearing panel of the Pacific District Committee of the Corporation (the “Hearing Panel Chair”) to

hear the application by counsel for the Respondent for adjournment of the hearing scheduled for March 7, 2023;

AND UPON HEARING the submissions of counsel for the Respondent and counsel for Staff of the Corporation (“Staff”) with respect to the Respondent’s application for an adjournment of the hearing of this matter, which was previously scheduled to commence on March 7, 2023, which was not opposed by Staff.

AND UPON HEARING from Counsel for the Respondent that the facts alleged in the Notice of Hearing may not be admitted in their entirety.

IT IS HEREBY ORDERED THAT:

1. The application for an adjournment by the Respondent is granted;
2. The hearing of this matter on its merits is adjourned to a date to be determined; and
3. The next interim appearance shall take place before the Hearing Panel Chair electronically by videoconference on March 20, 2023 at 9:30 a.m. (Pacific), or as soon thereafter as the appearance can be held.

DATED this 6th day of March, 2023.

“Michael Carroll”

Michael Carroll, K.C.
Chair

DM 903176

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 that is temporarily called the New Self-Regulatory Organization of Canada (referred to herein as the “Corporation”) and is recognized under applicable securities legislation. 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 Mutual Fund Dealer Rule 1A and s. 14.6 of By-law No. 1 of the Corporation, contraventions of former MFDA regulatory requirements may be enforced by the Corporation. Pursuant to Mutual Fund Dealer Rule 1A, MFDA By-Law No. 1 continues to be applicable to this proceeding.