



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: Nicholas Andrew Rivet

ORDER

(ARISING FROM FIRST APPEARANCE ON JANUARY 11, 2022)

WHEREAS on November 16, 2021, 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 Nicholas Andrew Rivet (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 January 11, 2022 in accordance with s. 19.13(b) of MFDA By-law No. 1;

AND WHEREAS both Counsel for Staff and Counsel for the Respondent attended the first appearance by videoconference on January 11, 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 10.1 of the MFDA *Rules of Procedure*, Staff shall provide documentary disclosure to the Respondent on or before February 25, 2022;
2. In accordance with Rule 10.2 of the MFDA *Rules of Procedure*, the Respondent shall provide documentary disclosure to Staff on or before March 25, 2022;
3. Staff shall provide the Respondent with a witness list, and for each witness that Staff intends to call at the hearing on the merits, a corresponding transcript, signed witness statement or a summary of the evidence that the witness is expected to give at the hearing by April 27, 2022 in accordance with Rule 11.1 of the MFDA *Rules of Procedure*;
4. The Respondent shall provide Staff with a witness list, and for each witness that the Respondent intends to call at the hearing on the merits, a corresponding transcript, signed witness statement or a summary of the evidence that the witness is expected to give at the hearing by May 27, 2022 in accordance with Rule 11.1 of the MFDA *Rules of Procedure*;
5. Subject to any further Order of the Hearing Panel, an interim procedural appearance in this matter shall take place by videoconference on March 15, 2022 at 10:00 a.m. (Eastern), or as soon thereafter as the appearance can be held; and
6. Subject to any further Order of the Hearing Panel, the Hearing on the Merits shall take place by electronic hearing on June 22-23, 2022, commencing at 10:00 a.m. (Eastern) each day, or as soon thereafter as the matter can be heard.

DATED this 11th day of January, 2022.

“John Lorn McDougall”

John Lorn McDougall, Q.C.

Chair

DM 864867