



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

IN THE MATTER OF
THE MUTUAL FUND DEALER RULES

Re: Michael Bock

ORDER

(ARISING FROM THE FIRST APPEARANCE ON JANUARY 17, 2023)

WHEREAS on November 18, 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 Michael Bock (the “Respondent”)¹;

AND WHEREAS in accordance with Rules 7.1(2) and 4.2(1)(c) of the MFDA Rules of Procedure, the Notice of Hearing was served on the Respondent on November 29, 2022;

AND WHEREAS on January 17, 2023, the first appearance in this proceeding was held before one public representative of a hearing committee acting on behalf of a hearing panel of the Alberta District Committee of the Corporation (the “Hearing Panel”), pursuant to s.7.2.4(b) of Mutual Fund Dealer Rules², which permits one public representative to be designated to act on behalf of a Hearing Panel for the purpose of hearing and determining any procedural matter or motion relating to the conduct of a disciplinary hearing including, setting hearing dates, and

¹ Pursuant to Rule 1A(5) of the Mutual Fund Dealer Rules, any enforcement proceedings commenced by the MFDA in accordance with its by-laws and rules prior to January 1, 2023 shall proceed in accordance with MFDA by-laws, decisions, directions, policies, regulations, rules, rulings and practice and procedure of the MFDA in effect and applicable to such enforcement proceeding at the time it was commenced.

² In accordance with Mutual Fund Dealer Rule 1A(5)(ii), if a Hearing Panel was not appointed prior to January 1, 2023, the Mutual Fund Dealer Rules apply to the appointment of the Hearing Panel.

making any other orders or directions that a Hearing Panel is authorized to make under the MFDA Rules of Procedure³, except a final determination of a disciplinary proceeding;

AND WHEREAS at the first appearance on January 17, 2023, the Respondent and Staff of the Corporation made submissions to the Hearing Panel with respect to scheduling and other procedural matters;

IT IS HEREBY ORDERED THAT:

1. This matter shall be adjourned and an interim appearance shall take place electronically by videoconference before the Hearing Panel on February 24, 2023 at 10:00 a.m. (Mountain), or as soon thereafter as the appearance can be held.

DATED this 17th day of January, 2023.

“Robert J. Stack”

Robert J. Stack
Chair

DM 901113

³In accordance with Mutual Fund Dealer Rule 7.2.3, the Corporation has prescribed that the MFDA *Rules of Procedure* shall continue to apply to proceedings conducted pursuant to the Mutual Fund Dealer Rules or MFDA By-law No. 1 after January 1, 2023.