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Canadian Investment
Regulatory
Organization

Organisme canadien
de réglementation
des investissements

Order

File No. 202249

**IN THE MATTER OF
THE MUTUAL FUND DEALER RULES
and
Alvinder Singh Gill**

ORDER

WHEREAS on November 11, 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 Alvinder Singh Gill (the “Respondent”);

AND WHEREAS on January 1, 2023, the MFDA and the Investment Industry Regulatory Organization of Canada (“IIROC”) consolidated to form a new self-regulatory organization called the New Self-Regulatory Organization of Canada (“New SRO”) now called the Canadian Investment Regulatory Organization (“CIRO”);

AND WHEREAS on January 17, 2023, at the first appearance in this proceeding which was held electronically, with the Respondent attending by teleconference and Staff of CIRO (“Staff”) attending by videoconference, before one public representative of a district hearing committee acting on behalf of a hearing panel of the Pacific District Hearing Committee of the New SRO, pursuant to section 19.13 of MFDA By-law No. 1 (now Mutual Fund Dealer Rule 7.2.4(b)), the hearing of this matter on its merits was scheduled to take place electronically by videoconference from July 11-13, 2023 commencing each day at 10.a.m. (Pacific);

AND WHEREAS on July 7, 2023, the Respondent brought a motion for various relief including an adjournment of the hearing on the merits on the basis of the Respondent's claim that he is suffering from a medical condition that will prevent him from participating by videoconference in the hearing on the merits;

AND WHEREAS the July 7, 2023 motion was heard electronically, with the Respondent attending by teleconference and Staff attending by videoconference, before one public representative of a district hearing committee acting on behalf of a hearing panel of the Pacific District Hearing Committee of the New SRO and the Respondent's motion was dismissed without prejudice to the Respondent's right to renew his motion for an adjournment supported by further evidence prior to the commencement of the hearing;

AND WHEREAS on July 11, 2023, prior to the commencement of the hearing of this matter on its merits, the Respondent brought a second motion for an adjournment of the hearing on the merits and other relief set out in a Notice of Motion, however, the Hearing Panel declined to hear the Respondent's July 11, 2023 motion on the basis that the relief sought had already been dismissed by the Hearing Panel on Friday, July 7, 2023 and the July 11, 2023 motion was not supported by any additional evidence that was not before the Hearing panel on July 7, 2023;

AND WHEREAS the hearing of this matter on its merits commenced on July 11, 2023 as previously scheduled and the Respondent participated in the hearing by videoconference throughout the day on July 11, 2023;

AND WHEREAS on July 12, 2023, the Respondent brought a third motion seeking an adjournment of the hearing on the merits and other relief set out in a Notice of Motion and submitted a letter that he had obtained from a doctor in support his request for an adjournment of the hearing on the merits;

AND WHEREAS the Hearing Panel dismissed the Respondent's July 12, 2023 motion, the hearing of this matter on its merits continued on July 12, 2023 and the Respondent continued to participate in the hearing by teleconference;

AND WHEREAS the hearing on the merits was scheduled to continue on July 13, 2023 at 10:00 a.m. (Pacific);

AND WHEREAS Staff attended the hearing on the merits by videoconference and the Respondent did not attend;

AND WHEREAS shortly after 10:00 a.m. (Pacific) on July 13, 2023, the Respondent contacted Staff and the Corporate Secretary's Office, Mutual Fund Division to inform Staff and the Hearing Panel that he had been hospitalized and was unable to attend and participate in the hearing on the merits electronically by videoconference or by teleconference;

AND WHEREAS the Hearing Panel treated the Respondent's request as a fourth motion for an adjournment of the hearing on the merits;

AND WHEREAS on the basis of the information received by Staff about the Respondent's current medical condition, Staff brought an application pursuant to ss. 24.3.1(a)(vii) and 24.3.3(a) seeking a suspension of the Respondent's authority to conduct securities related business for a Dealer Member of CISO that is registered as a mutual fund dealer;

AND UPON receipt of confirmation that the Respondent is hospitalized and unable to participate in the hearing on the merits electronically by videoconference or by teleconference and upon the consent of Staff to a temporary adjournment of the proceeding;

IT IS HEREBY ORDERED THAT:

1. The hearing on the merits of this matter is adjourned *sine die*;
2. Subject to any further order of the Hearing Panel, the next appearance in this proceeding shall take place before the Hearing Panel electronically by videoconference on July 26, 2023 at 10:00 a.m, (Pacific) to obtain a medical update concerning the

Respondent's condition and to schedule the continuation of the hearing of this matter on the merits;

3. On or before July 26, 2023, the Respondent shall serve on Staff and file with the Hearing Panel documentary medical records explaining the reasons why he was unable to attend the hearing on the merits on July 13, 2023 and providing an update with respect to the Respondent's medical condition;

4. Pursuant to sections 24.3.1(a)(vii) and 24.3.3(a) of MFDA By-law No. 1, as a result of the current medical condition of the Respondent, subject to any further order of a Hearing Panel, the Respondent's authority to conduct securities related business while in the employ of or in association with a Dealer Member of CIRO registered as a mutual fund dealer is suspended.

DATED this 13th day of July, 2023.

"Joseph Bernardo"

Joseph Bernardo,
Chair

"Barbara Fraser"

Barbara Fraser,
Investment Representative

"Sean Shore"

Sean Shore,
Industry Representative