



**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: Andrew Kazina**

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**ORDER**

(ARISING FROM FIRST APPEARANCE ON AUGUST 11, 2020)

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**WHEREAS** on June 4, 2020, 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 Andrew Kazina (the “Respondent”);

**AND WHEREAS** the Notice of Hearing was served on the Respondent on June 17, 2020, as appears from the affidavit of service of Terri Ash sworn August 10, 2020;

**AND WHEREAS** in accordance with s. 19.13 of MFDA By-law No. 1, on August 11, 2020, the first appearance in this matter was held by videoconference before a public representative of the Prairie Regional Council of the MFDA (“Hearing Panel”) to schedule a hearing on the merits;

**AND WHEREAS** during the first appearance Staff and the Respondent made submissions to the Chair of the Hearing Panel with respect to scheduling and other procedural matters;

**IT IS HEREBY ORDERED THAT:**

1. If at any time a non-party to this proceeding, with the exception of the bodies set out in 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 MFDA Corporate Secretary 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*;
2. The Respondent shall deliver and file a Reply to the Notice of Hearing on or before September 4, 2020;
3. On or before September 30, 2020, Staff shall provide disclosure to the Respondent;
4. On or before October 30, 2020, the Respondent shall provide any reciprocal disclosure to Staff;
5. On or before December 4, 2020, Staff shall deliver to the Respondent:
  - a) a list of expected witnesses it intends to call during the hearing on the merits in this matter (the “Staff witness list”); and
  - b) a statement of expected evidence for all witnesses on the Staff witness list;
6. On or before December 18, 2020, the Respondent shall deliver to Staff:
  - a) a list of expected witnesses he intends to call during the hearing on the merits in this matter (the “Respondent witness list”); and
  - b) a statement of expected evidence for all witnesses on the Respondent witness list;
7. The hearing of this matter on its merits shall take place on January 13 and 14, 2021, commencing at 10:00 am (Central) each day, or as soon thereafter as the hearing can be held, and will proceed by electronic hearing or, subject to a further order of the Hearing Panel, at a venue in Winnipeg, Manitoba to be determined and announced accordingly.

**DATED** this 11<sup>th</sup> day of August, 2020.

“Sherri Walsh”

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Sherri Walsh  
Chair

DM 761921