



**IN THE MATTER OF THE *SECURITIES ACT*
(S.N.W.T. 2008,c 10, as amended)**

-and-

IN THE MATTER OF

The MUTUAL FUND DEALERS ASSOCIATION OF CANADA

SUPERINTENDENT ORDER 2021/02

AUTHORIZATION ORDER
(under Section 76 of the *Securities Act*)

WHEREAS the MUTUAL FUND DEALERS ASSOCIATION OF CANADA (“MFDA”) is a recognized entity under Part 7 of the *Securities Act* (the *Act*);

AND WHEREAS pursuant to section 80(b) of the *Act*, the Superintendent may make any decision with respect to the procedures, practices, operations and interpretations of a recognized entity, if the Superintendent considers it in the public interest;

AND WHEREAS the MFDA is empowered under its internal rules, which have been approved by the Superintendent, to conduct hearings;

AND WHEREAS the MFDA has requested that pursuant to subsection 76(a) of the *Act* the Superintendent by order authorize the MFDA to exercise authority pursuant to section 77 of the *Act*;

AND WHEREAS the MFDA has requested that pursuant to subsection 76(c) of the *Act* the Superintendent by order authorize the MFDA to file a decision with the Supreme Court of the Northwest Territories (the Supreme Court) where the requirements of Section 83(1) of the *Act* have been complied with;

AND WHEREAS the MFDA has requested that pursuant to subsection 76(d) of the *Act* the Superintendent by order authorize the MFDA to file a settlement agreement with the Supreme Court under section 83(2) of the *Act*;

AND UPON REVIEWING the MFDA’s letter dated September 23, 2019;

AND WHEREAS the Superintendent is of the opinion that it is in the public interest to make this Order;

IT IS ORDERED THAT:

1. Pursuant to subsection 76(a) of the *Act*, the MFDA is authorized to exercise authority pursuant to section 77 of the *Act*;
2. Pursuant to subsection 76(c) of the *Act*, the MFDA is authorized to file a decision with the Supreme Court where the requirements of section 83(1) of the *Act* have been complied with; and
3. Pursuant to subsection 76(d) of the *Act*, the MFDA is authorized to file a settlement agreement with the Supreme Court under section 83(2) of the *Act*.

This Order takes effect on 1 April, 2021.

Dated at the City of Yellowknife, in the Northwest Territories this 1st day of January, 2021.



Matthew F. Yap, CD, LL.M.
Superintendent of Securities