



Ontario
Securities
Commission

Commission des
valeurs mobilières
de l'Ontario

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**IN THE MATTER OF THE MUTUAL FUND DEALERS ASSOCIATION
AND OMAR ENRIQUE ROJAS DIAZ (ALSO KNOWN AS OMAR ROJAS)**

Lawrence P. Haber, Commissioner and Chair of the Panel

File No. 2021-7

April 26, 2021

ORDER

WHEREAS on April 26, 2021, the Ontario Securities Commission held a hearing by teleconference in relation to the application brought by the Mutual Fund Dealers Association (**Applicant**) to review the decision of the Mutual Fund Dealers Association Central Regional Council dated January 29, 2021 (the **Application**);

ON READING the Application and hearing the submissions of the representatives of the Applicant, Omar Enrique Rojas Diaz (**Respondent**), and Staff of the Commission;

IT IS ORDERED THAT:

1. the hearing of the Application is scheduled for August 12, 2021 at 10:00 a.m., by videoconference, or on such other dates or times as may be agreed to by the parties and set by the Office of the Secretary;
2. the parties shall adhere to the following timeline for the delivery of materials for the Application:
 - a. the Applicant shall serve and file the record of the original proceeding by 4:30 p.m. on May 3, 2021;
 - b. the parties shall give notice of any intention to rely on documents or things not included in the record of the original proceeding by 4:30 p.m. on May 10, 2021;
 - c. the parties shall disclose any documents or things not included in the record of the original proceeding that they intend to rely on by 4:30 p.m. on May 17, 2021;

- d. The parties shall serve and file a witness list, and serve a summary of each witness' anticipated evidence, and indicate any intention to call an expert witness, by 4:30 p.m. on May 25, 2021;
 - e. the parties shall give notice of any other interlocutory matter, including motions, by 4:30 p.m. on June 14, 2021;
 - f. The Applicant shall serve and file their hearing brief, if any, and written submissions by 4:30 p.m. on June 25, 2021;
 - g. The Respondent shall serve and file their hearing brief, if any, and written submissions by 4:30 p.m. on July 23, 2021;
 - h. Staff of the Commission shall serve and file their hearing brief, if any, and written submissions by 4:30 p.m. on July 30, 2021; and
 - i. The Applicant and the Respondent shall serve and file reply written submissions, if any, by 4:30 p.m. on August 4, 2021; and
3. a further attendance in this proceeding is scheduled for June 21, 2021 at 9:00 a.m., by teleconference, or on such other date and time as may be agreed to by the parties and set by the Office of the Secretary.

"Lawrence P. Haber"

Lawrence P. Haber