



Ontario  
Securities  
Commission

Commission des  
valeurs mobilières  
de l'Ontario

22nd Floor  
20 Queen Street West  
Toronto ON M5H 3S8

22e étage  
20, rue queen ouest  
Toronto ON M5H 3S8

---

**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

October 5, 2021

**ORDER**

(Sections 21.7 and 8 of the  
*Securities Act*, RSO 1990, c S.5)

WHEREAS on August 12, 2021, the Ontario Securities Commission held a hearing by videoconference in relation to the application brought by the Mutual Fund Dealers Association (**MFDA**) to review the decision of the Mutual Fund Dealers Association Central Regional Council dated January 29, 2021 (the **MFDA Order**);

ON READING the materials filed by the parties and hearing the submissions of the representatives of the MFDA, Staff of the Commission, and Omar Enrique Rojas Diaz (the **Respondent**) appearing on his own behalf;

IT IS ORDERED THAT:

1. the Respondent shall pay a fine of \$52,270 to the MFDA pursuant to section 24.1.1(b) of MFDA By-law No. 1, in addition to the penalty set out in the MFDA Order.

*"Lawrence P. Haber"*

---

Lawrence P. Haber