



Capital
Markets
Tribunal

Tribunal des
marchés
financiers

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Toronto ON M5H 3S8

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20, rue Queen ouest
Toronto ON M5H 3S8

**IN THE MATTER OF
AMIN MOHAMMED ALI**

File No. 2022-6

Adjudicators: M. Cecilia Williams (chair of the panel)
William Furlong

June 1, 2023

ORDER

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

WHEREAS on May 31, 2023, the Capital Markets Tribunal held a hearing by videoconference in relation to the application brought by Amin Mohammed Ali to review the decision of the Mutual Fund Dealers Association (**MFDA**) dated February 10, 2022 (the **Application**);

ON READING the Application and hearing the submissions of the representatives for Ali, for Staff of the New Self Regulatory Organization of Canada (formerly MFDA) (**New SRO**) and for Staff of the Ontario Securities Commission;

IT IS ORDERED THAT:

1. By 4:30 p.m. on June 1, 2023, Ali shall serve and file an amended Application, including a redacted public version of the amended Application, if any;
2. the hearing of Ali's motion for a stay of the MFDA sanctions decision pending the disposition of the Application (the **Stay Motion**) shall be heard on June 26, 2023 at 2:00 p.m., by videoconference, or on such other dates or times as may be agreed to by the parties and set by the Governance & Tribunal Secretariat;
3. the parties shall adhere to the following timeline for the delivery of materials for the Stay Motion:
 - a. by 4:30 p.m. on June 9, 2023, Ali shall serve and file his motion record and written submissions;
 - b. by 4:30 p.m. on June 16, 2023, Staff of the New SRO shall serve and file

- its responding motion record and written submissions; and
- c. by 4:30 p.m. on June 21, 2023, Staff of the Commission shall serve and file its written submissions
4. the hearing of the Application shall commence on September 26, 2023 at 10:00 a.m., by videoconference, and continue on September 27 and 29, 2023, at 10:00 a.m. each day, or on such other dates or times as may be agreed to by the parties and set by the Governance & Tribunal Secretariat;
 5. the parties shall adhere to the following timeline for the delivery of materials for the Application:
 - a. by 4:30 p.m. on June 16, 2023, Ali shall advise which portions of the record of the original proceeding, if any, he is seeking an order to have marked as confidential, along with his position on why such portions should be marked as confidential;
 - b. by 4:30 p.m. on June 23, 2023, Staff of the New SRO and Staff of the Commission shall advise of their position regarding Ali's confidentiality request;
 - c. by 4:30 p.m. on June 16, 2023, Ali shall:
 - i. give notice of any intention to rely on documents or things not included in the record of the original proceeding;
 - ii. disclose any documents or things not included in the record of the original proceeding on which he intends to rely;
 - iii. serve and file a witness list, and serve a summary of each witness' anticipated evidence; and
 - iv. indicate any intention to call an expert witness;
 - d. by 4:30 p.m. on June 23, 2023, Staff of the New SRO shall:
 - i. give notice of any intention to rely on documents or things not included in the record of the original proceeding;
 - ii. disclose any documents or things not included in the record of the original proceeding on which he intends to rely;
 - iii. serve and file a witness list, and serve a summary of each witness' anticipated evidence; and
 - iv. indicate any intention to call an expert witness;
 - e. by 4:30 p.m. on June 30, 2023, the parties shall give notice of any other interlocutory matter, including motions, and if any motions are being brought, shall serve and file their motion and motion record;
 - f. by 4:30 p.m. on June 22, 2023, Ali shall serve and file his hearing brief, if any, and written submissions;
 - g. by 4:30 p.m. on July 21, 2023, Staff of the New SRO shall serve and file its

- hearing brief, if any, and written submissions;
- h. by 4:30 p.m. on August 4, 2023, Staff of the Commission shall serve and file its hearing brief, if any, and written submissions; and
 - i. by 4:30 p.m. on August 18, 2023, Ali shall serve and file reply written submissions, if any; and
6. a further attendance in this proceeding is scheduled for July 18, 2023 at 10:00 a.m., by videoconference, or on such other date and time as may be agreed to by the parties and set by the Governance & Tribunal Secretariat.

"M. Cecilia Williams"

M. Cecilia Williams

"William Furlong"

William Furlong