



Capital
Markets
Tribunal

Tribunal des
marchés
financiers

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

22e étage
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

July 18, 2023

ORDER

WHEREAS on July 18, 2023, the Capital Markets Tribunal held a hearing by videoconference in relation to the application brought by Amin Mohammed Ali to review the decisions of the Mutual Fund Dealers Association (**MFDA**) dated February 11, 2022 and September 20, 2022;

ON HEARING the submissions of the representatives for Ali, for Staff of the Canadian Investment Regulatory Organization (formerly MFDA) (**CIRO**) and for Staff of the Ontario Securities Commission;

IT IS ORDERED that:

1. pursuant to subsection 2(2) of the *Tribunal Adjudicative Records Act, 2019*, SO 2019, c 7, Sch 60, and Rule 22(4) of the *Rules of Procedure*, Ali's written submissions (referred to in Ali's filing and in this order as Ali's **Hearing Brief**) and the Updated Record of Original Proceeding filed on July 10, 2023 (the **Updated Record**) shall be kept confidential, pending any further order of the Tribunal regarding confidentiality;
2. by 4:30 p.m. on July 21, 2023, Ali shall provide responding submissions regarding Staff of CIRO's request that a portion of paragraph 15 of Ali's Hearing Brief be struck for settlement privilege;
3. by 4:30 p.m. on July 21, 2023, Staff of CIRO shall provide its proposed redactions to Ali's Hearing Brief;
4. by 4:30 p.m. on July 24, 2023, Staff of the Commission shall provide its submissions, if any, on CIRO's proposed redactions to Ali's Hearing Brief;
5. by 4:30 p.m. on July 26, 2023, Ali shall advise which portions, if any, of Exhibit A at Tab 3 of the Updated Record he is seeking to have ordered confidential,

- along with his position on why such portions should ordered to be confidential;
6. by 4:30 p.m. on July 28, 2023, Staff of CIRO and Staff of the Commission shall advise of their position regarding Ali's confidentiality request over the Updated Record;
 7. by 4:30 p.m. on July 28, 2023, Ali shall advise which portions, if any, of the transcript of the confidential portion of the June 26, 2023 hearing should be kept confidential, along with his position on why such portions should be marked as confidential;
 8. by 4:30 p.m. on August 4, 2023, Staff of CIRO shall provide submissions regarding Ali's confidentiality request over the transcript of the confidential portion of the June 26, 2023 hearing;
 9. by 4:30 p.m. on August 7, 2023, Staff of the Commission shall provide submission, if any, regarding Ali's confidentiality request over the transcript of the confidential portion of the June 26, 2023 hearing;
 10. paragraph 5 c. of the Tribunal's June 1, 2023 Order is varied as follows: "by 4:30 p.m. on August 26, 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. give notice of any intention to provide oral evidence and serve a summary of each witness' anticipated oral evidence; and
 11. paragraphs 2 g. and h. of the Tribunal's June 28, 2023 Order are varied as follows:
 - g. by 4:30 p.m. on August 1, 2023, Staff of CIRO shall serve and file its hearing brief, if any, and written submissions; and
 - h. by 4:30 p.m. on August 15, 2023, Staff of the Commission shall serve and file its hearing brief, if any, and written submissions.

"M. Cecilia Williams"

M. Cecilia Williams

"William Furlong"

William Furlong