

# Re MF Global Canada

IN THE MATTER OF:

**The Dealer Member Rules of the Investment Industry Regulatory  
Organization of Canada (IIROC)**

**and**

**MF Global Canada Co.**

2011 IIROC 58

Investment Industry Regulatory Organization of Canada  
Hearing Panel (Ontario District Council)

Heard: November 1, 2011  
Decision: November 1, 2011  
(2 paras.)

**Hearing Panel:**

Paul Moore (Chair), Nick Savona, Stuart Livingston

**Appearances:**

Natalija Popovic and Milton Chan, Enforcement Counsel, IIROC

Ciro Mirabella, Director, Financial and Operational Compliance, IIROC

Scott Bomhof, Counsel for MF Global Canada Co

Stéphane Rozier, President & CEO, MF Global Canada Co

Donna Yiu, CFO, MF Global Canada Co

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## ORDER

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¶ 1 **THIS APPLICATION** by the Staff of the Investment Industry Regulatory Organization of Canada (IIROC) coming on for hearing at Toronto, Ontario on Tuesday, November 1, 2011, pursuant to Dealer Member Rules 20.41, 20.42, and Rule 16 of the Rules of Practice and Procedure, and upon reviewing the materials filed in support; and on hearing counsel for Staff of IIROC, and upon noting the consent of the Respondent, **MF Global Canada Co**, a dealer member of IIROC;

¶ 2 **THIS HEARING PANEL ORDERS:**

- 1) that MF Global Canada Co.'s membership with IIROC be immediately suspended;
- 2) that MF Global Canada Co. comply with IIROC Dealer Member Rule 600 throughout the suspension period;
- 3) that MF Global Canada Co. immediately cease dealing with the public;
- 4) that IIROC Staff may undertake any action to facilitate the orderly transfer of client accounts, including liquidating trades, from MF Global, with the exception of the accounts of MF Global Partners, Officers, Directors, Shareholders, and debt holders and their affiliates. MF Global shall report to IIROC Staff as directed every 30 days regarding any action taken pursuant to this Order, until such time as all MF Global client accounts have been transferred to third party

Member Firms

5) This Order comes into effect Tuesday, November 1, 2011.

**DATED** at Toronto, Ontario, this 1<sup>st</sup> day of November, 2011.

Paul Moore, Chair

Nick Savona

Stuart Livingston

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