

Registrant Regulation & Compliance

Securities regulations and compliance expectations and standards are becoming increasingly complex on a global scale. Whether you are a portfolio manager, an investment fund manager or a dealer, you need advice and support from lawyers who not only understand your business and the laws that affect your business, but focus exclusively on registrants.

BLG is home to Canada's largest securities registrant regulation and compliance practice.

We are dedicated to understanding and resolving your regulatory and legal issues. We assist our registrant clients, both Canadian and international, with initial start-up, establishment of compliance and operational systems and ongoing advice and support.

We offer advice on structuring and offering funds, including hedge, private equity/venture capital and alternative funds, pursuant to private placements and public offerings to comply with Canadian securities laws.

We are counsel to the Canadian Investment Regulatory Organization (CIRO), the national self-regulatory organization (SRO) that oversees all investment dealers, mutual fund dealers and trading activity on Canada's debt and equity marketplaces.

We are members of, and assist trade associations, including:

- the Investment Funds Institute of Canada (IFIC)
- the Portfolio Management Association of Canada (PMAC)
- the Alternative Investment Management Association of Canada (AIMA Canada)
- the Investment Industry Association of Canada (IIAC)

Experience

- Assist firms and their personnel in attaining and maintaining registered status with Canadian securities regulators and, as applicable, as members of SROs.
- Assist firms and their personnel in understanding the registration and reporting regimes associated with futures and other derivatives trading and management.
- Develop, design, review and assess compliance procedures and practices relating to regulatory and internal policy requirements, including derivative usage.
- Build and test compliance capability, including conducting mock audits and investigations, identifying operational problems and devising appropriate, cost-effective solutions to respond to regulatory developments.

- Assist registrants which are the subject of a regulatory compliance audit, including training executives and staff in appropriate responses and solutions.
- Assist with a diverse range of compliance and regulatory matters, such as conflicts of interest and their management, risk management, internal controls, anti-money laundering and anti-terrorist financing, portfolio security valuation, liquidity management, error correction, best execution, trade-matching and soft dollar usage.
- Assist registrants wishing to use new technologies in offering their services, whether trading, discount trading or digital advice platforms.
- Work with registrants in understanding the rewards and challenges associated with the rise of cryptocurrencies and the implications of using blockchain technology.
- Obtain required regulatory relief from regulatory restrictions where necessary to allow you to operate your business as desired.
- Review and draft client documentation, such as investment management agreements, relationship disclosure, risk and conflicts of interest disclosure, new account opening forms, account agreements and account statements.
- Review and provide assistance and advice on marketing materials.
- Prepare and review offering documents and subscription agreements relating to investment funds and other product offerings in Canada, whether offered on an exempt basis under an offering memorandum or under a prospectus.
- Assist with issues relating to becoming a member of FundSERV Inc.

BLG | Canada's Law Firm

As the largest, truly full-service Canadian law firm, Borden Ladner Gervais LLP (BLG) delivers practical legal advice for domestic and international clients across more practices and industries than any Canadian firm. With over 800 lawyers, intellectual property agents and other professionals, BLG serves the legal needs of businesses and institutions across Canada and beyond – from M&A and capital markets, to disputes, financing, and trademark & patent registration.

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