

Investment Management & Registration

The regulatory climate for securities dealers and advisors and fund managers in Canada is complex and ever-changing. Market participants benefit from our Investment Management & Registration Group's comprehensive understanding of the regulatory landscape in Canada and the vast array of financial products and services offered in today's capital markets. Our clients include both domestic and non-resident dealers, advisors, investment fund managers, mutual fund companies, hedge funds, financial institutions, alternative trading systems and other market participants.

The regulatory framework in Canada encompasses a diverse range of market activity, including the marketing and sale of prospectus-exempt and non-exempt financial products and services, the registration or licensing of dealers, advisers and investment fund managers and the ongoing trading, advisory and regulatory compliance activities that are conducted by them. These regulatory requirements are complex and pervasive and can have a significant impact upon the way in which market participants structure their products and operate their businesses. The Investment Management and Registration Team provides advice on all aspects of the regulated activity, including securities trading and advising, investment fund structuring and registration and transactional and regulatory matters.

The Investment Management & Registration Group has strong working relationships with the key regulators, including the Ontario Securities Commission, Canada Revenue Agency, the Investment Industry Regulatory Organization of Canada and the Mutual Fund Dealers Association of Canada.

When needed, A&B's Investment Management & Registration Group draws on the expertise of the Capital Markets, Tax, Mergers & Acquisitions/Private Equity, Real Estate and Litigation Groups to provide our clients with efficient solutions to their needs.

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