

## SERVICE

# Capital Markets Regulatory Enforcement

A highly respected team within the capital markets industry providing insightful advice to clients both in Canada and internationally.



## Related Expertise

- [Capital Markets](#)
- [Corporate and Securities Disputes](#)
- [Financial Services Regulatory](#)
- [Regulatory Investigations](#)
- [Risk Management and Crisis Response](#)

Osler's Capital Markets Regulatory Enforcement Group has extensive experience in the handling of regulatory and enforcement issues encountered by participants in the Canadian capital markets, including Canadian and non-Canadian public companies, financial services firms, accounting firms and their respective directors, officers, senior management, partners and employees.

We routinely advise and represent investment dealers, securities advisors and other market participants in regulatory investigations and enforcement proceedings before provincial securities commissions, self-regulated organizations and securities exchanges. We also represent public company boards, audit committees and special committees in internal investigations and enforcement proceedings in response to allegations of insider trading, disclosure violations, financial fraud, accounting irregularities, and other misconduct. We provide advice and representation to brokers, investment dealers, and individual registrants in connection with investigations, regulated arbitration processes and civil proceedings — including class actions — brought by brokerage clients for losses sustained in their retail brokerage accounts.

The group is comprised of lawyers who are highly respected within the securities industry and the courts, both in Canada and internationally. The Co-Chair of the Osler Capital Markets Regulatory Enforcement Group is the former Vice Chair of the Ontario Securities Commission and the Senior Vice President and Senior Policy Advisor at the Canadian Securities Transition Office. He offers an insider's perspective on dealing with securities regulators in Canada. Lawyers in the group have a wide-ranging depth of knowledge, having been seconded to provincial securities commissions, taught securities courses in law schools, written extensively and lectured frequently on securities enforcement and regulatory issues. Drawing upon their years of experience and practical knowledge of government and regulatory policy, decision-making, enforcement practices and personnel, they critically assess each matter to implement strategies tailored to each particular case and client.

Osler's Capital Markets Regulatory Enforcement Group is coordinated among Osler's four Canadian offices — Toronto, Calgary, Montréal and Ottawa — enabling us to provide comprehensive advice for all securities-related matters. We offer integrated teams of leading lawyers across multiple disciplines to provide clients with informed, efficient and effective representation. We also work collaboratively with Osler's Internal Investigations Group to manage internal investigations on behalf of boards and board committees of companies and regulated entities, along with advice on the establishment and implementation of securities law compliance programs and counsel on specific compliance concerns.

Key Contacts



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