



Sean D. Sadler

Partner

Toronto

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t. 416-601-7511

Bar Admission

Ontario 1989

Law School

Osgoode Hall Law School
University of Windsor

Practices

Capital Markets
White Collar Defence and
Investigations
Securities Regulation and Investment
Products

Sean Sadler is a partner in the Securities Regulation & Investment Products Group of McCarthy Tétrault LLP in its Toronto office.

Since joining the firm in 1989, he has been primarily engaged in a securities trading and adviser regulation practice, with particular emphasis on advising Canadian and non-resident dealers and advisers on the offering of their services in Canada, including structuring and regulation of collective investment vehicles and the public and private offering of investment products and securities, retail mutual funds, institutional pooled funds, hedge funds, closed-end funds, separately managed accounts, wrap accounts, wealth management services, family offices and registered education savings plans.

Sean also regularly advises on securities law/IIROC/MFSA compliance and enforcement matters, and on white collar defense, internal investigations, voluntary and whistle-blowing disclosures with respect to matters involving securities activities. He also regularly advises registrants on private placements, commodity futures and OTC derivatives trading, acquisitions, divestitures and reorganizations of registrants and the merger of investment fund complexes and the establishment of investment fund businesses. Sean has, together with local counsel, assisted clients in establishing or restructuring investment funds in jurisdictions outside Canada including, Bermuda, British Virgin Islands, Cayman Islands and Mauritius.

Earlier in his career, he was seconded as legal counsel to the Registration Section of the Capital Markets Branch of the Ontario Securities Commission and to the Fixed Income Group of CIBC Wood Gundy Securities Inc.

For many years, Sean was a special lecturer in various securities law topics at the University of Windsor, the University of Western Ontario, Dalhousie University and Queen's University. For over 25 years, he has been a co-editor of LexisNexis' *Annotated Ontario Securities Legislation*. He is a co-author of a chapter in Practising Law Institute's Treatises: *Broker-Dealer Regulation and Investment Adviser Regulation*. He is also a co-author of CCH's *Canadian Securities Regulatory Requirements Applicable to Non-Resident Broker-Dealers, Advisers and Investment Fund Managers*, a handbook of Canadian securities regulatory requirements for non-resident securities firms published in 2012.

Sean received his BA from the University of Toronto, his JD from the University of Windsor and his LLM in banking and financial services law from the Osgoode Hall Law School.

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Awards & Rankings

Acritas Star - 2019

Recognized as a Stand-Out Lawyer

Chambers Canada

Leading Lawyer: Investment Funds

Best Lawyers in Canada - 2020

"Lawyer of the Year" in the area of Mutual Funds Law (Toronto)

Best Lawyers in Canada

Leading Lawyer in the areas of Mutual Funds Law, Private Funds Law and Securities Law

Canadian Legal Lexpert Directory

Repeatedly Recommended: Investment Funds

Lexology Content Marketing Awards - Q2 2019

Recognised as the Legal Influencer for Financial Services - Canada.

Who's Who Legal: Canada

National Leader - Private Funds

Recent Experience

- **Morningstar Inc. enters agreement to acquire DBRS for US\$669M**
July 02, 2019
- **Stifel Financial Corp. announces agreement to acquire GMP Capital Inc.'s capital markets business**
- **CVC Capital Partners Asia Fund IV acquires OANDA Global Corporation**
October 15, 2018
- **Sun Life Global Investments acquires Excel Funds Management Inc. and Excel Investment Counsel Inc.**
January 02, 2018

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Recent Insights

- **CSA Finalizes Client Focused Reforms**
October 11, 2019
- **CSA Published Guidance on Expectations for Compliance Consultants Performing Regulatory Mandates**
August 26, 2019
- **IIROC Proposes Significant Changes to Continuing Education Rules**
August 06, 2019
- **SEC/FINRA Joint Statement on Broker-Dealer Custody of Digital Asset Securities**
July 29, 2019