



Sean D. Sadler

Partner

Toronto

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t. +1 416-601-7511

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

Industries

Securities Regulation & Investment
Products

Sean's dedication to clients' files and highly personable, detail-oriented approach make him one of the most sought-after lawyers in the investment sector.

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

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.

He has a superb understanding of the securities regulatory rules and has amassed a tremendous industry experience.

— CHAMBERS CANADA

Sean also regularly advises on securities law/IIROC/MFDA 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.

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Teaching and writing

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.

Awards & Rankings

Acritas Star

"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: Mutual Funds Law

Canadian Legal Lexpert Directory

Leading Lawyer: Investment Funds & Asset Management - Investment Funds

Lexology Content Marketing Awards - Q2 2019

Recognised as the Legal Influencer for Financial Services - Canada.

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Who's Who Legal: Canada

National Leader - Private Funds

Best Lawyers in Canada

Leading Lawyer: Securities Law

Best Lawyers in Canada

Leading Lawyer: Private Funds Law

Recent Experience

- **TD Asset Management wins all issues in common issues trial alleging closet indexing**
June 28, 2022
- **Slate Asset Management acquires Presima Inc.**
June 14, 2022
- **Timbercreek Capital Inc. launches its first open-ended North American private debt fund**
April 20, 2022
- **Arizona Sonoran Copper Company Inc.'s IPO of C\$46.7M**
November 16, 2021

Recent Insights

- **CSA Finally Adopts Derivatives Business Conduct Rule**
October 16, 2023
- **Focus on Crypto Asset Trading Platforms and Boutique Registered Firms in OSC Registrant Report for 2022-23**
September 14, 2023
- **CIRO Publishes Annual Priorities for 2024**

July 13, 2023

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- **Navigating the ESG landscape: Practical insights for investment fund managers**

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