



## Sean D. Sadler

Partner

Toronto

[ssadler@mccarthy.ca](mailto:ssadler@mccarthy.ca)

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

**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/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.

### 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*.

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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 in the areas of Mutual Funds Law, Private Funds Law and Securities 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.

### Who's Who Legal: Canada

National Leader - Private Funds

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## Recent Experience

- **Fairfax Africa Holdings Corporation closes strategic transaction with Helios Holdings Limited**  
December 08, 2020
- **Gemini Trust Company acts as sub-custodian in respect of The Bitcoin Fund**  
June 04, 2020
- **Canadian Western Bank acquires iA Investment Counsel Inc.**  
June 01, 2020
- **Morningstar completes its acquisition of PlanPlus Global**  
April 03, 2020

## Recent Insights

- **Ontario rejoins the CSA to ban mutual fund deferred sales charges effective June 1, 2022**  
May 10, 2021
- **Canadian Securities Administrators and IIROC Release Guidance for Crypto Asset Trading Platforms**  
March 30, 2021
- **Private Placement Trends: OSC Publishes Report on Exempt Market Activity**  
February 17, 2021
- **IIROC Publishes for Comment Proposed Client Focused Reform Amendments**  
January 21, 2021