

Robert D. Wallis

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Investment Management
Mutual Funds
Private Funds, Hedge Funds & Alternative Investments
Registrant Regulation & Markets
Digital Assets
Private Equity

Robert advises clients engaged in all aspects of the investment management industry. He regularly works with and counsels investment fund managers, portfolio managers, dealers, financial institutions and institutional investors.

Robert has expertise in the formation, management and operation of public and private investment funds in Canada, and the offering of their securities in public offerings and private placements.

Additionally, he regularly assists clients seeking to obtain and maintain registration with Canadian securities regulators, and provides those clients with ongoing advice on securities regulatory and compliance matters.

Experience

- Member of the BLG team that represented First Block Capital Inc. in connection with its registration as an investment fund manager and an exempt market dealer in order to operate a bitcoin investment fund, the first registration of an investment fund manager in Canada solely dedicated to cryptocurrency investments. Also acted in connection with the direct and syndicated private placement of units of the bitcoin fund to investors in Canada and abroad.
- Assisted with the formation and initial public offering of the first British Columbia based exchange-traded mutual fund.
- Regularly advises on all issues relating to the formation, organization and operation of retail mutual funds, hedge funds, pooled funds, private equity funds and other investment vehicles.

- Regularly assists with the distribution of securities of domestic and foreign investment funds and other investment vehicles in Canada through public offering or private placements.
- Regularly assists client obtain registration with Canadian securities regulators.
- Regularly advises portfolio managers, dealers and investment fund managers with respect to registration and ongoing securities regulatory and compliance matters.
- Has obtained exemptive relief from the Canadian securities regulators from a wide range of requirements under Canadian securities law, including complex and novel exemptive relief.

Insights & Events

- Author, "British Columbia Securities Commission (BCSC) 2025 annual compliance report card", BLG Article, October 2026
- Author, "Final CSA rules on related party reporting and disclosure in financial statements: What investment fund managers need to know", BLG Article, February 2026
- Author, "CSA Proposals on Liquidity Risk Management", BLG Article, December 2025
- Author, "CSA adopts final amendments to prospectus filing rules for investment funds", BLG Article, December 2024
- Author, "Goodbye MRFP, hello fund report: Proposed changes to continuous disclosure rules for investment funds", BLG Article, October 2024
- Author, "CSA publishes guidance on Public Crypto Funds – What fund managers need to know", BLG Article, August 2023
- Author, "CSA seek to require registrants to help defend clients against financial exploitation ", BLG Article, July 2020
- Author, "B.C. Regulators Okay Registration of Canada's First Cryptocurrency Fund Manager," The Lawyer's Daily, October 2017.
- Author, "CSA Increases Regulatory Clarity in the Cryptic World of Digital Currencies", BLG Article, August 2017
- Author, "Finally! Offering Memorandum Exemption Available Everywhere: But Still Not Harmonized," BLG's Securities & Capital Markets Bulletin, November 2015

Beyond our Walls

Professional Involvement

- Member, Canadian Bar Association
- Member, Law Society of British Columbia
- Alternative Investment Management Association

Awards & Recognitions

- Recognized in the 2025 (and since 2020) edition of *The Canadian Legal Lexpert® Directory* (Investment Funds & Asset Management).

Bar Admission & Education

- Alberta, 2023
- British Columbia, 2011

- JD, University of British Columbia, 2010
- BSc, Simon Fraser University, 2006

BLG | Canada's Law Firm

As the largest, truly full-service Canadian law firm, Borden Ladner Gervais LLP (BLG) delivers practical legal advice for domestic and international clients across more practices and industries than any Canadian firm. With over 800 lawyers, intellectual property agents and other professionals, BLG serves the legal needs of businesses and institutions across Canada and beyond – from M&A and capital markets, to disputes, financing, and trademark & patent registration.

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