



Sienne Lau

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Sienne practices corporate commercial and securities law, with an emphasis on the investment management industry.

Sienne advises clients with respect to legal issues regarding the formation, distribution and ongoing operation of different investment products, including exchange-traded funds, mutual funds and pooled funds. She has also been involved in dealer and advisor registration matters and the preparation of derivatives documentation.

Sienne has experience acting for public and private companies, underwriters and special committees regarding mergers and acquisitions, initial public offerings and private placement transactions. She also advises companies on general corporate matters, disclosure obligations and corporate governance matters.

Sienne is a member of the [Derivatives group](#) which has been recognized as Global Capital's Canadian Law Firm of the Year for derivatives, an award it has received every year since 2014.

Prior to becoming a lawyer, Sienne worked as a freelance business news writer for CNN International.

She is fluent in English, Mandarin and Cantonese.

Experience

- Providing legal advice on the development and offering of exchange-traded funds, mutual funds, pooled funds and other types of investment products.
- Advising investment fund managers on fund mergers and other fundamental fund changes.
- Preparing offering documents and continuous disclosure documents relating to retail exchange-traded funds and mutual funds.
- Advising securities industry participants on compliance with corporate and securities laws, rules and policies relating to the investment management industry.
- Providing transactional and regulatory advice on merger and acquisition transactions involving investment management industry participants.
- Advising **Canada Mortgage and Housing Corporation** on the implementation of its Canada Mortgage Bond program and the fully underwritten offerings (to date) of more than \$300 billion in CMB bonds since program launch in 2001.
- Seconded to RBC Global Asset Management between July 2017 and January 2018.

Insights & Events

- Canadian securities regulators conduct a “green” sweep of ESG products and practices
- ETF Developments South of the Border — Implications for Canadian ETF Managers
- CSA Regulatory Burden Reduction Proposals for Investment Funds: A solid step in the right direction
- Crypto Traders Need to Register — OSC Takes Enforcement Action
- Cleared for Clearing — Canadian Rules Finalized on Mandatory Clearing of Derivatives
- New Risk Classification Methodology for Mutual Funds and ETFs – September 1, 2017 with Phased-in Disclosure
- Derivatives Sound Practices – Draft Guideline Released for Federally-Regulated Financial Institutions in Canada
- Derivatives Sound Practices - Final Guideline Released for Federally - Regulated Financial Institutions in Canada
- Recovery Framework for Central Counterparties Proposed by ISDA

Beyond Our Walls

Professional Involvement

- Member, Law Society of British Columbia
- Member, Law Society of Upper Canada

Education & Bar Admissions

- Ontario, 2015
- British Columbia, 2013



- BA, University of British Columbia, 2007
- JD, Queen's University, 2012
- Certificate in Chinese Law, Tsinghua University, 2011

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