

Matthew P. Williams

Partner

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Registrant Regulation & Markets
Private Funds, Hedge Funds & Alternative Investments
Private Equity
United Kingdom and Europe
United States
Investment Management

Matt practices investment management and securities law. He focuses exclusively in the areas of:

- registrant regulation
- compliance
- hedge/pooled/private equity funds

Matt advises foreign and Canadian advisers, dealers and fund managers on registration and ongoing securities compliance matters.

He also advises both offshore and domestic hedge and private equity funds on the sale of their product in Canada and the regulatory aspects of private placements.

Prior to joining BLG, Matt was legal counsel in the General Counsel's Office at the Ontario Securities Commission (OSC). In 2010, Matt was seconded to BMO Financial Group as legal counsel in the Global Asset Management department. In 2012, Matt was seconded to the Compliance and Registrant Regulation branch of the OSC as Legal Counsel.

Experience

- Advised BNY Mellon Wealth Management, Advisory Services, Inc. in its sale to Guardian Capital Group (TSX: GCG).

- Advises both foreign and domestic entities on all matters relating to asset management, private placements and securities compliance in Canada.
- Obtains registrations for foreign and domestic advisers, dealers and fund managers, from start-up hedge funds to global asset managers with over a trillion dollars in AUM.
- Acts in all aspects of the formation, organization and maintenance of hedge funds and other pooled fund products, along with their management companies.

Insights & Events

- Author, "Under the bright lights: CSA & CIRO illuminate enhanced expectations in phase 2 client-focused reform sweep", BLG Article, December 2025
- Author, "BCSC 2024 Compliance Report Card: A sneak peek of the 2024 CFR sweep findings", BLG Article, October 2025
- Author, "The OSC wants registered firms' "go bags" packed and ready: how firms can tailor their packing lists and how owners can protect their legacies", BLG Article, September 2024
- Author, "Let's inspect the OSC's 2024 Registration, Inspections and Examinations Division Summary Report", BLG Article, September 2024
- Pearls of wisdom: Investment management regulatory trends and preparing for the new SRO, BLG Video, January 2023
- Author, "The CSA's changes to mandatory registrant regulatory filings are now effective", BLG Article, June 2022
- Author, "Preparing for the new CFR titles and misleading communication requirements", BLG Article, May 2021
- Author, "Regulatory compliance of foreign private equity and hedge funds sales to Canada", BLG Article, March 2021
- Author, "Surging to 2021: BLG's 2020 Vision of the Client-Focused Reforms", BLG Article, January 2020
- Author, "Now the Work Begins — "Client Focused" Registrant Reform Rules Published by Canadian Securities Regulators", BLG Article, October 2019
- Author, "Monthly Reporting Requirements Still in Effect for Securities Registrants and Exempt Firms under Amended STCS Legislation", BLG Article, June 2019
- Speaker, "Compliance Refreshers", BLG's Investment Management Group Client Event, November 2018
- Speaker, "CSA's Client-Focused Reforms – What does it all mean?", Federation of Mutual Fund Dealers' Education Day, September 2018
- Speaker, "OSC Initiatives: Recent & Future", EVIV Group, September 2018
- Speaker, "CSA Registrant Regulation Proposals: What's Shelved (for now) and What's Supersized", BLG's Investment Management Group Client Event, July 2018
- Speaker, "New Custody Rules Come Into Effect June 2018", BLG's Investment Management Group Client Event, November 2017
- Speaker, "Hot Topics in Canada," National Society of Compliance Professionals – 2017 National Meeting, October 2017
- Author, "Canadian Securities Regulators Finalize New Requirements for Canadian Registrants", BLG Article, August 2017
- Speaker, "Canadian Hot Topics - You might have a Canadian issue if…", National Society of Compliance Professionals, October 2016
- Speaker, "Changing the Status Quo? Proposed CSA 'Targeted' Reforms on Best Interest Standard", BLG's Investment Management Group Client Event, June 2016

- Speaker, "Exempt Market Dealer Compliance", Strategy Institute - 9th Annual Conference on Registrant Regulation, Conduct and Compliance, April 2016
- Speaker, “What to Expect When You’re Expecting a Compliance Audit,” Alternative Investment Management Association, February 2016
- Author, "So You Have a Canadian Client for Your Funds - Now What?" NSCP Currents, the newsletter of the National Society of Compliance Professionals (NSCP), March 2015.
- Author, "Author, "Disclosing "Outside Business Activities" – OSC Amnesty Deadline Ends March 27, 2015," BLG Investment Management Bulletin, January 2015 ", BLG Article, January 2015
- Author, "Significant Amendments to National Instrument 31-103 Finalized," BLG Investment Management Bulletin, October 2014

Beyond our Walls

Professional Involvement

- Member, Law Society of Upper Canada
- Member, Canadian Bar Association
- Member, Ontario Bar Association
- Member, Toronto Lawyers Association

Community Involvement

- Founding member, The R. Fraser Elliott Society at the Toronto General and Western Hospital Foundation

Awards & Recognitions

- Recognized in the 2019 edition (and since 2018) of *Canadian Legal Lexpert® Directory* (Investment Funds & Asset Management)

Bar Admission & Education

- Ontario, 2005

- LLB, University of Western Ontario, 2004
- B.Comm., Finance, McGill University, 2001

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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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