



## Jonathan Doll

### Partner

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Jon's practice focuses on **securities, investment funds , digital assets , corporate law** including fund formation, securities registration (licensing), mergers and acquisitions, private equity and corporate finance transactions.

His clients include:

- Public and private companies
- Investment fund managers
- Securities dealers and advisers
- Real estate funds and developers
- Trust companies
- Digital asset companies

Jon advises clients on the formation, management and operation of investment funds, real estate funds and private equity funds. He also advises companies with mergers, acquisitions, public offerings and private placement transactions.

He has experience with a wide range of registration, regulatory and compliance matters affecting registered firms and individuals, including developing, reviewing and assessing compliance procedures and practices.

## Experience

- **NDAX Canada** regarding its registration as a marketplace alternative trading system (ATS), investment dealer, Canadian Investment Regulatory Organization (CIRO) member, and on its mergers and acquisition matters
- **Viewpoint Investment Partners Corporation** regarding launch of its retail mutual funds and pooled mutual funds
- **Spire Wealth** regarding its portfolio manager registration
- **Union Wealth** regarding its investment fund manager, portfolio manager and exempt market dealer registration
- **Northbase Finance** regarding its strategic private-equity investment from **BlackGold Capital Management LP**
- **LoKnow** regarding its acquisition of **Dandelion**
- **Appoxio** regarding its corporate sale to **Thirdera**
- **QV Investors** regarding its mutual funds and corporate matters
- **Exosphere Ventures** regarding the launch of its venture capital fund
- **Canoe Financial** regarding the launch of its private equity fund
- **TVC Trust** regarding the launch of its private equity fund
- **Farmcap** regarding the launch of its agricultural land fund
- **Crescero Natural Capital** regarding the launch of its agricultural land funds
- **Ayrfit West** regarding its acquisition of International Fitness Holdings, a portfolio company of **TriWest Capital Partners**
- **SmartBe Investments** regarding launch of its exchange-traded fund and investment fund manager, portfolio manager and exempt market dealer registration
- **Accelerate Financial Technologies** regarding launch of its retail alternative exchange-traded funds and pooled funds
- **Odyssey Trust Company** regarding its creation and ongoing matters
- **Rethink and Diversify Securities** regarding its securities commission registration
- **Portland Investment Counsel**, regarding creation of pooled funds and real estate funds
- **Grafton Asset Management**, regarding creation of various pooled funds and private equity funds
- **Ernst & Young**, in its capacity as Court-appointed monitor regarding the cross-border restructuring of **Walton International Group**
- **PricewaterhouseCoopers**, in its capacity as Court-appointed monitor regarding the cross-border restructuring of **Sanjel Corporation**
- **Gasfrac Energy Services** regarding its sale and reorganization under the *Companies' Creditors Arrangement Act*
- **Bonterra Energy** regarding its conversion from an income trust to a corporate structure
- **Bonterra Energy** regarding its acquisition of **Spartan Oil**
- **Western Energy Services** regarding its acquisition of **IROC Energy Services**
- **Western Energy Services** regarding its acquisition of **Stoneham Drilling Trust**
- **Western Energy Services** regarding its acquisition of **Pantera Drilling Income Trust**
- **NuLoch Resources** regarding its corporate sale to a NYSE-listed oil and gas company
- **Ember Resources** regarding its going-private transaction
- **Comaplex Minerals** regarding its corporate sale to **Agnico-Eagle** and spin out of **Geomark Exploration**

## Insights & Events

- Author, "ASC grants novel exemptive relief to permit a family office to act as dealer, adviser and investment fund manager", BLG Article, February 2025
- Author, "The Registration Rules Book", BLG Article, January 2025
- Author, "Insider trading or something else? Shadow trading steps out of the darkness", BLG Article, January 2025
- Author, "Private equity and venture capital sponsors: Are supply chain/modern slavery reporting requirements on your radar?", BLG Article, April 2024
- Author, "The Registration Rules Book", BLG Article, January 2024
- Author, "Navigating the regulatory minefield: A guide for digital asset businesses in Canada", BLG Article, February 2023
- Author, "Recent developments in the digital assets space", BLG Article, August 2022
- Author, "Countdown to April 19: crypto trading platforms need to comply", BLG Article, April 2021
- Author, "In need of start-up capital? Crowdfunding may be just the solution", BLG Article, April 2020
- Speaker, "PWC Hot Topics Affecting the Investment Management Industry," PricewaterhouseCoopers Inc., December 2018
- Speaker, "Investing in an Age of Disruption," Alternative Investment Management Association, November 2018.
- Speaker, "Offering Memorandums, Trips and Traps", Private Capital Markets Association of Canada, Western National Industry Conference 2018, November 2018.
- Speaker, "NI 81-102: Industry Innovation & Launching Liquid Alternatives Seminar", Alternative Investment Management Association, September 2018.
- Author, "SEC Settlement Decision Disrupts The Rise Of Free Tokens And Bounty Programs", BLG Article, August 2018
- Speaker, "Independent Review Committees: Current Regulatory Issues," Independent Review Inc. Continuing Education Series for Independent Review Committees, June 2018.
- Author, "Simple Agreements for Tokens (SAFTS) and the Regulatory Risk of ICOs and Token Sales", BLG Article, February 2018
- Speaker, "Fall Regulatory Update – Cybersecurity and Cryptocurrency," Alternative Investment Management Association, November 2017
- Speaker, "BLG's 2016 Investment Management Forum," BLG Seminar, October 2016
- Speaker, "Exempt Markets & Insolvency: An Intersection of Securities and Insolvency Laws," Canadian Bar Association, September 2017
- Author, "ASC Releases Results of EMD Sweep/CSA Provides Guidance on Small Firms Compliance", BLG Article, June 2017
- Speaker, "Compliance/Registration Chestnuts: What's the New Focus?," Portfolio Management Association of Canada (PMAC) Compliance Officers Network Meeting, June 2017
- Speaker, "Independent Review Committees: Taking the 2017 Regulatory Pulse," Independent Review Inc. Continuing Education Series for Independent Review Committees, June 2017
- Speaker, "The Way Forward: Distinct Demands, Unique Opportunities: An Exclusive Event for Discretionary Portfolio Managers," Franklin Templeton Investments, May 2017
- Speaker, "Regulatory Spring Fever – Compliance Audits," Alternative Investment Management Association, April 2017
- Speaker, "PWC Hot Topics," PricewaterhouseCoopers Inc., January 2017

## Beyond Our Walls

### Professional Involvement

- Corporate Secretary, Odyssey Trust Company
- Co-chair, Alternative Investment Management Association, Alberta Chapter

### Community Involvement

- Director, Prairie Securities Traders Association

## Awards & Recognitions

- Recognized in the 2025 edition (since 2020) of *The Best Lawyers in Canada*® (Securities Law) and in the 2024 edition of *The Best Lawyers in Canada*® (Private Funds Law) and in the 2022 edition of *The Best Lawyers in Canada*® (Private Funds Law).
- Recognized in the 2025 edition (and since 2020) of *The Canadian Legal Lexpert*® Directory (Corporate Mid-Market) and the 2025 edition (and since 2017) (Investment Funds and Asset Management)
- Recognized in the 2023 edition of *Lexpert Special Edition: Technology and Health Sciences*
- Recognized in the 2023 edition (and since 2022) of *Lexpert Special Edition: Energy*

## Bar Admission & Education

- Alberta, 2006
- LLB, University of Western Ontario, 2005
- BCom, University of Alberta, 2002

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