



Lorraine Lynds

Partner

T 416.367.6158

F 416.367.6749

Toronto

LLynds@blg.com

[Investment Management](#)

[Mergers & Acquisitions](#)

[Capital Markets](#)

[Banking & Financial Services](#)

Lorraine practises corporate and securities law, with a focus on the investment management industry. She acts as a strategic advisor to significant Canadian and global investment management businesses regarding wealth management, asset management and securities regulatory matters. With more than 20 years of experience both in-house at a major financial institution and at a leading national firm, she has a keen insight into her clients' business imperatives and is valued for her practical and strategic advice.

Lorraine advises issuers, distributors and institutional investors regarding mutual funds, ETFs, hedge funds, alternative funds, private equity funds and managed account arrangements. She also has experience in investment fund mergers and restructurings.

She provides strategic advice to a wide range of Canadian, U.S. and other international dealers, advisers and fund managers on securities regulatory matters and their ongoing obligations under Canada's registration rules. She advises clients on all aspects of their Canadian securities regulatory obligations, from initial start-up and registration through to the growth and ongoing evolution of their businesses.

Lorraine advises on strategic merger and acquisition transactions and restructurings of wealth management businesses, as well as advisor team lift-outs. She has worked with both the Capital Markets and Takeover Bids teams of the Ontario Securities Commission.

Experience

- **Investment Management**
 - o The wealth division of a major Canadian financial institution in the merger of its discretionary investment counsel business into its affiliated investment dealer business.
 - o An independent Canadian wealth management firm in its proposed acquisition of a portfolio management and investment fund management firm.
 - o A subsidiary of a Canadian independent wealth management firm on its inaugural launch of a family of private investment funds.
 - o A major Canadian asset manager in its inaugural launch of a family of target date retirement funds.
 - o Multiple private fund launches, including master-feeder structures, alternative strategies and diversified credit strategies.
 - o Multiple registered firms with respect to firm and individual registrations and the creation of related policies and procedures.
 - o An international wealth management firm in its establishment of an investment dealer business in Canada.
 - o A significant Canadian wealth manager in its placement of alternative and private investment funds on its retail platform.
 - o Various international fund managers with respect to engagement of Canadian placement agents.
- **Securities Regulatory**
 - o Multiple Canadian dealers regarding the Canadian Investment Regulatory Organization's proposals to level the advisor compensation playing field, including by potentially allowing for an incorporated approved person.
 - o Canadian dealer and adviser registrants in complying with the Canadian securities regulatory authorities' client focused reforms.
 - o A Canadian investment dealer in the establishment of an alternative funds platform.
 - o A Canadian trust company in its acquisition of a charitable foundation administration business.
 - o A Canadian financial institution in its strategic partnership with an online wills platform.
 - o A Canadian financial institution in the creation of an off-the-shelf defined contribution pension plan platform.
 - o A Canadian financial institution in the establishment of a multiple family office.

Insights & Events

- Moderator, "Overview and Update on CIRO's Current and Upcoming Regulatory Initiatives," SIMA Dealer and Asset Management Summer Regs and Refreshments Event, July 2026
- Author, "One step closer to harmonization: CIRO's proposed Incorporated Approved Person Compensation model", BLG Article, July 2026
- Speaker, "SIMA Annual Leadership Conference," SIMA, October 2025
- Co-Host and Presenter, "Key Takeaways from Conflicts of Interest Sweep and What's Next?," Portfolio Management Association of Canada Compliance Officers' Network Event, September 2024
- Speaker and Presenter, "Summary Report for Dealers, Advisers and IFMs," Portfolio Management Association of Canada Compliance Officer's Network, September 2024
- Co-Host, "Canadian Investment Regulatory Organization Proposal regarding Advisor Incorporation," Round Table with Investment Industry Association of Canada, April 2024

- Moderator, "Research and Emerging Trends in Private and Institutional Client Needs," Portfolio Management Association of Canada Compliance Forum, June 2023

Beyond Our Walls

Professional Involvement

- Member, Law Society of Ontario
- Member, Canadian Bar Association
- Member, Dealer Legal & Compliance Working Group, Securities & Investment Management Association (SIMA)
- Participant, Asset Management Legal & Compliance Working Group, SIMA
- Member, Industry Regulation & Tax Committee, Portfolio Management Association of Canada

Bar Admission & Education

- Ontario, 2002
- LLB, Osgoode Hall Law School, 2001
- MBA, Schulich School of Business, 2001
- Scholar's Electives, Western University, 1997

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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