



Matthew P. Williams

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[Registrant Regulation & Compliance](#)

[Private Funds, Hedge Funds & Alternative Investments](#)

[Private Equity](#)

[United Kingdom](#)

[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

- The CSA's changes to mandatory registrant regulatory filings are now effective
- Preparing for the new CFR titles and misleading communication requirements
- Regulatory compliance of foreign private equity and hedge funds sales to Canada
- Surging to 2021: BLG's 2020 Vision of the Client-Focused Reforms
- Now the Work Begins — "Client Focused" Registrant Reform Rules Published by Canadian Securities Regulators
- Monthly Reporting Requirements Still in Effect for Securities Registrants and Exempt Firms under Amended STCS Legislation
- 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
- Canadian Securities Regulators Finalize New Requirements for Canadian Registrants
- 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, "Disclosing "Outside Business Activities" – OSC Amnesty Deadline Ends March 27, 2015," BLG Investment Management Bulletin, January 2015
- Author, "Significant Amendments to National Instrument 31-103 Finalized," BLG Investment Management Bulletin, October 2014
- Author, "Chapter Three: Registration in Canada," How to Start and Grow a Successful Hedge Fund in Canada, ISI Publications, August 2014 (with Prema Thiele and Laurie Cook)
- Author, "Distributing Hedge Funds in Canada," HFMWeek Magazine, August 2014.

- Author, "Two Distinct Regulatory Approaches for Non-Resident Investment Fund Managers Finalized in Canada," BLG Investment Management Bulletin, July 2012 (with Prema Thiele, Rebecca Cowdery, Laurie Cook and Marsha Gerhart).
- Chapter: Registration in Canada
- Author and Local Counsel Contact for Canada for Open-End, Hedge & Private Equity Funds, Separately Managed Accounts and Stakeholder Disclosure, Dechert's "World Compass" database

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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