

## Securities Litigation and Regulation

We represent individuals and corporations whose business involves the capital markets in British Columbia. This includes broker dealers, registered representatives, investment advisors, mutual funds sales persons, traders, public companies, investor relations individuals, and directors and officers of public companies.

We also regularly represent individuals and corporations in disputes they have with investment professionals and firms. We provide advice and representation in civil litigation matters, securities-related criminal charges and in securities-related regulatory investigations and disciplinary proceedings.

Rod Anderson chairs our securities litigation and regulation group. You are welcome to phone Rod at 604.895.2849 or at [randerson@harpergrey.com](mailto:randerson@harpergrey.com).

### Our Areas of Focus

Our Securities Litigation and Regulation lawyers have represented clients in proceedings before the following Courts and Tribunals:

- ⚡ Supreme Court of Canada
- ⚡ British Columbia Court of Appeal
- ⚡ British Columbia Supreme Court
- ⚡ British Columbia Securities Commission
- ⚡ Investment Dealers Association of Canada
- ⚡ Mutual Fund Dealers Association
- ⚡ Market Regulation Services Inc.
- ⚡ TSX Venture Exchange
- ⚡ Ontario Securities Commission
- ⚡ Ontario Superior Court of Justice
- ⚡ Financial Institutions Commission of BC

### Recent News

Six Harper Grey lawyers named "Leading Practitioners"

Sean Taylor and Ron Pelletier join Partnership

Rod Anderson featured in Report on Business

Five Harper Grey Lawyers named Lexpert "Leading Practitioners"

### Media Centre

Financial advisors: how will you fare if a client sues?

BC Court of Appeal Decision: Thow v. BC Securities Commission

### Lawyers

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