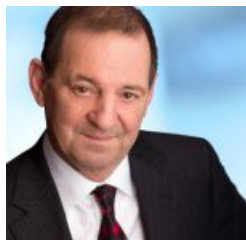


SECURITIES REGULATION & LITIGATION



H. RODERICK ANDERSON*

Chair

Harper Grey LLP

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*H. Roderick Anderson Law Corporation

With a reputation as being among the best securities litigation firms in the country, we provide straightforward, informed advice and creative solutions to resolve your situation.

We represent securities clients whose reputation, ability to operate, and share value are seriously threatened.

Broker dealers, investment advisors, mutual fund salespeople, brokerage firms, public companies, directors and officers rely on our lawyers to resolve their securities law issues fairly and efficiently.

Our lawyers handle securities matters involving both civil and criminal law. We take an objective, pragmatic view of your best options, and rely on strong, respectful relationships with authorities to negotiate a solution.

SERVICES

- Regulatory proceedings before the Investment Industry Regulatory Organization of Canada (IIROC) and the BC Securities Commission.
- Defending securities professionals against allegations of fraud, negligent misrepresentation and misappropriation.
- Defence against charges relating to white collar crime.
- Directors and officers liability - advice and representation in matters involving oppression, derivative actions and/or breach of fiduciary duty.
- Shareholder disputes - representation of public companies and individuals.
- Suitability issues - helping individuals deal with issues raised by the TSX-Venture Exchange.
- US Securities and Exchange Commission investigations - representing companies, directors, officers and business people in cross-border matters concerning investigations and procedures undertaken by US issuers.
- Multilateral Assistance Treaty Act issues.

TYPICAL SITUATIONS

- A director of a public mining company is accused of misappropriating funds and fraud.
- A broker dealer is under investigation after a regulator receives multiple complaints from her clients about her communication and reporting procedures.
- A brokerage firm discovers that it has major compliance discrepancies with a securities commission.

SELECT CASES

- Our group represents many clients in proceedings before IIROC and the BC Securities Commission. Most of these matters are settled through negotiation that is unreported by regulatory authorities.

- Representing a plaintiff in a securities matter set for a 25-day trial.
- Acting for the chairman and CEO of Ebco Industries in a 45-day trial. The litigation was brought by a minority shareholder. It is one of the few directors and officers liability claims ever to proceed to a full trial in British Columbia.
- Representing a CEO removed from his role at a public company.
- Representing a Victoria-based mutual fund salesperson in an appeal of a \$2 million fine imposed by the BC Securities Commission. The fine was reduced to \$600,000.
- Representing a broker against an indemnity lawsuit alleging that he guaranteed clients a rate of return on notes.
- Defence of a registered representative against allegations of an “RRSP stripping scheme”.
- Representing a broker against allegations of a commission kickback arrangement.

RECOGNITIONS

19 Harper Grey lawyers recognized for litigation expertise by Benchmark Canada®, 2019

Harper Grey receives highest firm ranking as a “Highly Recommended” local litigation law firm in British Columbia from Benchmark Canada® 2014, 2015, 2016, 2017, 2018, 2019

24 Harper Grey lawyers recognized across 15 specialty areas by Best Lawyers® in Canada, 2017

24 Harper Grey lawyers recognized as “Leading Practitioners” by Canadian Legal Lexpert Directory®, 2018

Harper Grey recognized as a "Leading Law Firm" regionally in the area of Dispute Resolution by Chambers Canada®, 2017

Martindale Hubbell® recognizes 13 Harper Grey lawyers across 27 practice areas

Harper Grey receives the TAGLaw Membership Award of Distinction acknowledging 15 years of outstanding service

Harper Grey recognized as a Top 10 Regional Firm in British Columbia, Alberta and the Territories by Canadian Lawyer Magazine, 2012 and 2014

Harper Grey recognized as "Repeatedly Recommended" in the area of Litigation – Securities by Canadian Legal Lexpert Directory®, 2019

COMMENTARIES

“Incredibly strong skill set, knowledge of litigation and strategic, and keen ability to solve problems.”

— *Benchmark Canada® 2019*

“These lawyers are all subject matter experts, and leader in their field, whose knowledge and skill are matched by their excellent client service.”

— *Benchmark Canada® 2019*

“This team has provided outstanding legal service. They are prompt, responsive, and communicative. They are strong strategists and provide well researched, experienced legal advice. We work with many firms, and Harper Grey stands out. One member of the team remembers every interaction, memo, pleading and document. They understand a very complicated file and address it with ease and candor. We very much appreciate their strong advocacy.”

— *Benchmark Canada@ 2019*

“The firm is top notch. They have many lawyers specialized in medical defense work who are highly skilled in their legal acumen and practice management, but who also recognize the importance of carrying out their work in a practical, results-oriented manner. They actively look for ways to more efficiently partner with their clients for effective management of the work, while at the same time not weakening their excellent service delivery, their responsiveness, or their effectiveness in the work.”

— *Benchmark Canada@ 2019*

“The firm’s lawyers are principled and have deep integrity. Their work is thorough and of consistent high quality.”

— *Benchmark Canada@ 2019*

“Excellent response time, good talent from junior and intermediate to senior levels and reasonable service costs.”

— *Benchmark Canada@ 2018*

“They dominate the medical practice, insurance, and product liability and even have more specialties like bankruptcy, aviation, defamation, securities, even environmental.”

— *Benchmark Canada@ 2018*

“Rod Anderson is lauded for his enthusiastic client following and his track record of success.”

— *Benchmark Canada@ 2015*

“Rod Anderson fearlessly gets involved in everything from standard shareholder disputes to more slippery stuff like insider trading, and he is known to win big.”

— *Benchmark Canada@ 2015*

“Rod Anderson is noted by peers as being ‘one of the most active leading securities litigators in the province’.”

— *Benchmark Canada@ 2013*

“Rod Anderson – he’s got a reputation for success, he’s got a client following, and he just wins.”

— *Benchmark Canada@ 2013*

“Harper Grey almost has ‘a firm within a firm’ in its securities practice. BC is not a securities hotbed but whatever comes through is something you can bet that Rod Anderson can handle.”

— *Benchmark Canada@ 2014*

“Harper Grey has a stellar pedigree as a litigation firm, and they’ve put a ton of people on the bench”, observes one peer.”

— *Benchmark Canada@ 2014*

“One source enthused about John Sullivan ‘His service to the client was exceptional’.”

— *Chambers Canada@ 2017*

“Harper Grey is one of the best firms in Vancouver. They have excellent service, knowledge and their cost structure is excellent.”

— *Benchmark Canada@ 2017*

“They exceeded all my expectations. I am very satisfied with their work and very happy to recommend them.”

— *Chambers Canada@ 2017*

“Harper Grey has niches, and in those niches they are the best of the best.”

— *Benchmark Canada@ 2017*

“There was insight and nuance in how John Sullivan handled the case. He did it masterfully.”

— *Chambers Canada@ 2016*

“Every day it seems like I am dealing with someone at Harper Grey, and I always find them professional, courteous and effective.”

— *Benchmark Canada@ 2017*

“A Vancouver staple, Harper Grey is perhaps the most BC-centric of the “highly recommended” firms, owing largely to the firm’s bench strength in several key areas.”

— *Benchmark Canada@ 2018*

“A lawyer who refers work to Harper Grey wrote it has ‘great service, a breadth of practice and I have never received a negative comment from referrals to the firm’.”

— *2014 Canadian Lawyer Magazine Stronger than Ever - Top Western & Northern Firms, September 1, 2014*

“Clients are comforted by the firm’s long history in BC. We’re steeped in the region. Our connection is such that we have knowledge of not only the issue itself, but the history of the issue in the province.” – Richard Bereti

— *2012 Canadian Lawyer Magazine@ Embracing Regionalism - Canadian Lawyer’s Top 10 firms from B.C., Alberta, and the Territories are in the Sweet Spot Right Now, October 1, 2012*

“Harper Grey lawyers are ‘dedicated to their clients and focused on finding and implementing practical solutions for them. The lawyers are prompt, intelligent and insightful, and provide a high level of customer service’.”

— *2012 Canadian Lawyer Magazine Embracing Regionalism - Canadian Lawyer’s Top 10 firms from B.C., Alberta, and the Territories are in the Sweet Spot Right Now, October 1, 2012*

“They have been historically focused on insurance defense, but these days they are much more diverse. They dominate the medical practice cases in BC. They even have a couple of people involved in real niche specialties, such as high-end family law and securities”.

— *Benchmark Canada@ 2014*

“The firm has real quality people, and they’ve put three people on the bench there in six years.”

— *Benchmark Canada@ 2015*

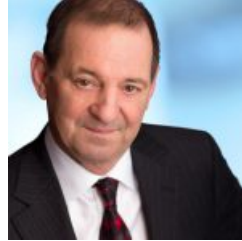
“Harper Grey is a trial lawyer’s firm, and they’ve got a big deep bench of well-trained litigators.”

— *Benchmark Canada@ 2016*

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SELECT ARTICLES + PUBLICATIONS

“The Enforcement of Foreign Judgments in BC: Ten Years After Morguard” Article

Published In: The Advocate - Vol 59 - Part 3 - May.01

Written by: John P. Sullivan*

SELECT EVENTS + PRESENTATIONS

Daniel Reid to speak at Pacific Business and Law Institute “Local Government 2019: Current Issues” Conference

Presented by: Daniel J. Reid

Kim Jakeman and Una Radoja attend 2018 We for She Forum

Presented by: Kimberly J. Jakeman*, Una Radoja*

Owais Ahmed co-presented at the Advocate Society’s Seventh Annual Securities Symposium

Presentation Date: 11.Sept. 17

Presented by: Owais Ahmed

SELECT NEWS

Harper Grey receives 48 rankings from Best Lawyers® in Canada 2020

Related to: Sandra Abley, JD, CFP®, TEP, Steven Abramson*, Owais Ahmed, Bryan G. Baynham, QC, Richard E. Bereti*, Salman Y. Bhura*, Guy P. Brown, QC*, William S. Clark*, Prentice Durbin*, Michael J. Hewitt*, Kimberly J. Jakeman*, Steven G. Lukas*, Maureen L.A. Lundell, QC, William D. MacRae*, Derek Mah*, Jonathan D. Meadows*, David W. Pilley, Una Radoja*, Christopher M. Rusnak*, Raj Samtani*, John P. Sullivan*, W. Sean Taylor, Michael G. Thomas*, Nigel L. Trevethan*, Abigail C.F. Turner*, Henning W. Wiebach*, Jennifer R. Woznesensky, Lara C. Zee - 21.Aug.19

Harper Grey recognized as a “Leading Firm” in five practice areas by 2019 Canadian Legal Lexpert® Directory

06.May.19

2019 Canadian Legal Lexpert® Directory recognizes 16 Harper Grey lawyers as “Leading Practitioners”

Related to: Steven Abramson*, H. Roderick Anderson*, Richard E. Bereti*, Guy P. Brown, QC*, William S. Clark*, Cameron B. Elder, Michael J. Hewitt*, Kimberly J. Jakeman*, Jonathan D. Meadows*, David W. Pilley, Christopher M. Rusnak*, Raj Samtani*, W. Sean Taylor, Nigel L. Trevethan*, Abigail C.F. Turner*, Lara C. Zee - 06.May.19

30 Harper Grey Lawyers recognized by Best Lawyers® in Canada 2019

Related to: Steven Abramson*, Owais Ahmed, H. Roderick Anderson*, Bryan G. Baynham, QC, Richard E. Bereti*, Salman Y. Bhura*, Guy P. Brown, QC*, William S. Clark*, Prentice Durbin*, Michael J. Hewitt*, Kimberly J. Jakeman*, James M. Lepp, QC, Steven G. Lukas*, Maureen L.A. Lundell, QC, Derek Mah*, Jonathan D. Meadows*, David W. Pilley, Una Radoja*, Christopher M. Rusnak*, Raj Samtani*, John P. Sullivan*, W. Sean Taylor, Michael G. Thomas*, Nigel L. Trevethan*, Abigail C.F. Turner*, Henning W. Wiebach*, Jennifer R. Woznesensky, Lara C. Zee - 21.Aug.18

Harper Grey welcomes five new Associates

Related to: Andrew Tang, Kirsten Rogerson, Paul Saunders, Drummond Lambert, Erika Decker - 30.May.18

19 Harper Grey Lawyers recognized for litigation expertise by Benchmark Canada® 2018

Related to: H. Roderick Anderson*, Bryan G. Baynham, QC, Richard E. Bereti*, Salman Y. Bhura*, Guy P. Brown, QC*, Karen F. Douglas*, Michael J. Hewitt*, Kimberly J. Jakeman*, James M. Lepp, QC, Jonathan D. Meadows*, David W. Pilley, Christopher M. Rusnak*, John P. Sullivan*, Michael G. Thomas*, Nigel L. Trevethan*, Abigail C.F. Turner*, Jennifer R. Woznesensky, Cameron B. Elder, Una Radoja* - 19.Apr.18

2018 Canadian Legal Lexpert® Directory recognizes 24 Harper Grey lawyers as “Leading Practitioners”

Related to: Steven Abramson*, H. Roderick Anderson*, Bryan G. Baynham, QC, Richard E. Bereti*, Salman Y. Bhura*, Guy P. Brown, QC*, William S. Clark*, Karen F. Douglas*, Prentice Durbin*, Michael J. Hewitt*, Kimberly J. Jakeman*, James M. Lepp, QC, Maureen L.A. Lundell, QC, Jonathan D. Meadows*, David W. Pilley, Una Radoja*, Christopher M. Rusnak*, Raj Samtani*, W. Sean Taylor, Nigel L. Trevethan*, Abigail C.F. Turner*, Lara C. Zee - 13.Apr.18

Harper Grey recognized as a “Leading Firm” in five practice areas by 2018 Canadian Legal Lexpert® Directory

13.Apr.18

Two Harper Grey lawyers recognized by the 2017 Lexpert Guide to the Leading US/Canada Cross-Border Litigation Lawyers in Canada

Related to: H. Roderick Anderson*, Kim J. Yee - 28.Nov.17

Best Lawyers® in Canada 2018 recognizes 27 Harper Grey Lawyers

Related to: Bryan G. Baynham, QC, Richard E. Bereti*, Salman Y. Bhura*, Guy P. Brown, QC*, William S. Clark*, Prentice Durbin*, Kimberly J. Jakeman*, James M. Lepp, QC, Steven G. Lukas*, Maureen L.A. Lundell, QC, Derek Mah*, L. Neil Matheson, QC*, Jonathan D. Meadows*, Barbara J. Norell, QC, David W. Pilley, Christopher M. Rusnak*, Raj Samtani*, John P. Sullivan*, W. Sean Taylor, Michael G. Thomas*, Nigel L. Trevethan*, Abigail C.F. Turner*, Henning W. Wiebach*, Jennifer R. Woznesensky, Lara C. Zee - 22.Aug.17

16 Harper Grey lawyers recognized for litigation expertise by Benchmark Canada® 2017

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Harper Grey recognized as a “Leading Firm” in five practice areas by 2017 Canadian Legal Lexpert® Directory

08.May.17

18 Harper Grey lawyers recognized as “Leading Practitioners” by 2017 Canadian Legal Lexpert® Directory

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Martindale-Hubbell® recognizes 14 Harper Grey lawyers

Related to: Bryan G. Baynham, QC, John B. Brown*, Guy P. Brown, QC*, Karen F. Douglas*, Steven G. Lukas*, Maureen L.A. Lundell, QC, William D. MacRae*, L. Neil Matheson, QC*, Barbara J. Norell, QC, David W. Pilley, Terrence L. Robertson, QC, Abigail C.F. Turner*, Henning W. Wiebach* - 30.Jan.17

Best Lawyers® in Canada 2017 recognizes 24 Harper Grey Lawyers

Related to: Abigail C.F. Turner*, Barbara J. Norell, QC, Bryan G. Baynham, QC, Christopher M. Rusnak*, David W. Pilley, Guy P. Brown, QC*, James M. Lepp, QC, Jennifer R. Woznesensky, John P. Sullivan*, Jonathan D. Meadows*, Kimberly J. Jakeman*, Maureen L.A. Lundell, QC, Michael G. Thomas*, Nigel L. Trevethan*, Prentice Durbin*, Raj Samtani*, Richard E. Bereti*, Salman Y. Bhura*, Steven G. Lukas*, Terrence L. Robertson, QC, William S. Clark*, H. Roderick Anderson*, L. Neil Matheson, QC*, W. Sean Taylor - 10.Aug.16

2016 Canadian Legal Lexpert Directory recognizes 11 Harper Grey lawyers as “Leading Practitioners”

Related to: Barbara J. Norell, QC, Bryan G. Baynham, QC, David W. Pilley, Guy P. Brown, QC*, James M. Lepp, QC, Jonathan D. Meadows*, Kimberly J. Jakeman*, Nigel L. Trevethan*, Raj Samtani*, Salman Y. Bhura*, H. Roderick Anderson* - 27.Jun.16

20 Harper Grey Lawyers recognized by Best Lawyers

Related to: Abigail C.F. Turner*, Barbara J. Norell, QC, Bryan G. Baynham, QC, Christopher M. Rusnak*, David W. Pilley, Guy P. Brown, QC*, James M. Lepp, QC, John P. Sullivan*, Jonathan D. Meadows*, Kimberly J. Jakeman*, Maureen L.A. Lundell, QC, Michael G. Thomas*, Nigel L. Trevethan*, Raj Samtani*, Richard E. Bereti*, Terrence L. Robertson, QC, William S. Clark*, H. Roderick Anderson*, L. Neil Matheson, QC*, W. Sean Taylor - 25.Aug.15

2015 Canadian Legal Lexpert Directory recognizes 9 Harper Grey lawyers

Related to: Barbara J. Norell, QC, Bryan G. Baynham, QC, David W. Pilley, Guy P. Brown, QC*, James M. Lepp, QC, Kimberly J. Jakeman*, Raj Samtani*, H. Roderick Anderson* - 30.Jun.15

Owais Ahmed quoted in Investment Executive article on “TV Cameras In Securities Commissions” by Jim Middlemiss

Related to: Owais Ahmed - 01.Jun.15

12 Harper Grey lawyers recognized for litigation expertise by Benchmark Canada 2015

Related to: Bryan G. Baynham, QC, Christopher M. Rusnak*, Guy P. Brown, QC*, Henning W. Wiebach*, James M. Lepp, QC, Jennifer R. Woznesensky, John P. Sullivan*, Jonathan D. Meadows*, Kimberly J. Jakeman*, Nigel L. Trevethan*, Salman Y. Bhura*, Terrence L. Robertson, QC, H. Roderick Anderson* - 14.Mar.15

17 Harper Grey lawyers recognized by Best Lawyers® in Canada 2015

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Seven Harper Grey lawyers named Leading Practitioners

Related to: David W. Pilley, Guy P. Brown, QC*, James M. Lepp, QC, Kimberly J. Jakeman*, Richard E. Bereti*, H. Roderick Anderson* - 31.May.13

Eight Harper Grey lawyers recognized by Best Lawyers in Canada 2013

Related to: Bryan G. Baynham, QC, Christopher M. Rusnak*, James M. Lepp, QC, Raj Samtani*, H. Roderick Anderson*, L. Neil Matheson, QC*, W. Sean Taylor - 22.Aug.12

Six Harper Grey lawyers named “Leading Practitioners” by Lexpert Legal Directory

Related to: David W. Pilley, Guy P. Brown, QC*, James M. Lepp, QC, Kimberly J. Jakeman* - 30.May.12

Harper Grey welcomes Associate, Jeremy Shragge

08.May.12

Rod Anderson ranked among the “Top 500 Litigators In Canada” by Lexpert and American Lawyer Media

Related to: H. Roderick Anderson* - 25.Nov.11

Seven Harper Grey lawyers recognized by Best Lawyers in Canada

Related to: Bryan G. Baynham, QC, Christopher M. Rusnak*, James M. Lepp, QC, H. Roderick Anderson*, L. Neil Matheson, QC*, W. Sean Taylor - 19.Sep.11

Harper Grey welcomes new Associate, Owais Ahmed

Related to: Owais Ahmed - 22.Jun.11