

Passport to Registration – We’ve Got You Covered

From complex forms and documents to tax and other commercial issues, the registration process of dealers and advisors comes with a variety of risk and challenges.

WeirFoulds makes the process easy and painless through our “Registration Services Program” – a fixed fee solution designed to navigate the process in an efficient, cost effective and creative manner.

Our highly specialized team of professionals ensure you won’t get lost in the technical intricacies of registration. We will set you up on strong legal footing, leaving you to focus on what you know best – your business!

We are pleased to offer registration services for all categories of registration in Canada.

Our comprehensive package includes:

- Initial one hour of consultation
- 5 hours of consultation per month for one year, including but not limited to:

Formation and Ongoing Requirements

- Preparation and filing of all required forms and documents related to firm and individual registrations for all categories
- International dealer and advisor exemption application
- Notification of material changes
- Registration in additional jurisdictions
- Assistance with Ongoing Requirements including yearly renewals
- Preparation of National Registration Database filings
- Exemption applications for firms and individuals
- Compliance (streamlining of policies and procedures)
- Ontario Securities Commission compliance reviews

Tax/Commercial Considerations

- Two calls of up to one hour each to answer your questions and provide guidance on tax and/or commercial issues.

Labour and Employment

- One call of up to one hour to answer questions
- A template offer letter for employees
- A template employment agreement

Data Protection/Privacy

- Guidance regarding data protection and privacy laws
- Regulatory

Supplementary Services

- Check-in call six months after registration
- Complimentary in-house compliance training
- Introductions to our network of accounting firms

We offer all of the above services at a very competitive fixed-rate.

Already registered? Our fixed-fee solution is flexible. We would be happy to meet with you to discuss a customized economical package to suit your particular needs and stage of development.

For more information, please contact:

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Our Team



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About WeirFoulds

WeirFoulds LLP has established itself as one of Canada's premier regional law firms and has provided strategic, cost-effective and innovative legal advice to our clients since 1860. We are proud of our heritage, and our reputation for excellence that has been built by delivering value in all that we do. WeirFoulds is focused on four areas of practice: (1) Litigation; (2) Corporate; (3) Property; and (4) Government Law.

About WeirFoulds' Securities Practice Group

Whether raising money in the capital markets or arranging debt financing, it is essential to be supported by legal advisers who have deep knowledge of all forms of financing methods and their implementation.

WeirFoulds assists public and private corporations, financial institutions and growth-oriented businesses with raising money in the Canadian and U.S. capital markets. We have extensive experience assisting clients with initial public offerings, secondary offerings, private placements, and alternative financing methods. We also assist clients with public debt issuances, shelf prospectus offerings and debt programmes. In addition, we serve as ongoing counsel to numerous clients, providing advice on securities compliance in areas such as trading, registration, disclosure and settlement.

Our securities litigation team has extensive experience in dealing with various securities regulators in both compliance and enforcement proceedings, including the Ontario Securities Commission, the Investment Industry Regulatory Organization of Canada, the Financial Services Commission of Ontario and the Mutual Fund Dealers Association of Canada. Our comprehensive securities litigation practice includes the defense of professional negligence and breach of fiduciary duty actions, class actions, shareholder actions, and other securities-related civil proceedings.

We take a multi-disciplinary approach to our securities files, engaging our corporate, securities, tax, commercial and regulatory experts as necessary to ensure our clients receive excellent advice that is tailored to their needs.