



Kathryn M. Fuller

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[Investment Management](#)

[Mutual Funds](#)

[ETFs, Structured Products & Closed-End Funds](#)

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Kathryn practises corporate, commercial and securities law, with an emphasis on investment management.

She advises Canadian and international fund managers, dealers and advisors on the establishment and administration of public and private investment funds, as well as the private placement of foreign funds in Canada. She regularly advises clients on regulatory and compliance matters affecting funds, including sales practices, independent review committees and conflict of interest matters.

In addition, Kathryn advises clients on merger and acquisition transactions and outsourcing transactions in the investment management industry.

During her time at BLG, Kathryn was seconded to a major mutual fund company.

Kathryn is the Toronto regional leader of BLG's Investment Management Group. She is also a member of the firm's [Environmental, Social and Governance \(ESG\)](#) initiative.

Insights & Events

- Author, "Court opens the door to a finding of fiduciary duty in relation to non-managed accounts", BLG Article, June 2024
- Author, "ESG-related investment fund disclosure in 2024: "Walk your talk"", BLG Article, May 2024
- Author, "Everything you need to know about the Canadian Investment Regulatory Organization (CIRO): a dynamic resource", BLG Article, April 2024
- Author, "18-year check up: Continuous disclosure review and guidance for IRCs", BLG Article, April 2024
- Findings and tips from Canada's first survey of fund managers on ESG, BLG Podcast, February 2024
- Author, "It's time: CIRO tackles incorporated advisors", BLG Article, February 2024
- Author, "The Registration Rules Book", BLG Article, January 2024
- Navigating the currents of ESG expectations: Survey Report on ESG perceptions and practices of Canadian Fund Managers, BLG Perspective, November 2023
- Author, "Common ground: new report provides standard definitions for key responsible investment terms", BLG Article, November 2023
- Author, "OSC issues new summary report with guidance for investment fund and structured product issuers", BLG Article, November 2023
- Author, "ETFs in the spotlight: The CSA review exchange-traded funds", BLG Article, October 2023
- Author, "The Investment Fund Rules Book", BLG Article, February 2023
- Author, "Understanding the CSA's guidance on ESG disclosures by investment funds", BLG Article, April 2022
- Author, "CFA Institute & Canadian Securities Administrators release ESG investment disclosure standards", BLG Article, January 2022
- Author, "Canadian securities regulators conduct a "green" sweep of ESG products and practices", BLG Article, April 2021
- Author, "No advice on mutual fund investing? No trail after June 1, 2022, but challenges ahead", BLG Article, September 2020
- Author, "2020 Spotlight on alternative mutual funds – opportunities ahead", BLG Article, September 2020
- Author, "DSC's demise—Restricted in Ontario and banned in the rest of Canada as of June 1, 2022 ", BLG Article, March 2020
- Author, "New Compensation Restrictions for a New Decade – CSA Bans with Twists in Ontario", BLG Article, December 2019
- Author, "CSA Regulatory Burden Reduction Proposals for Investment Funds: A solid step in the right direction", BLG Article, October 2019
- Author, "Mutual Fund Embedded Compensation: the Expected, the Dramatically Unexpected and What's Next?", BLG Article, October 2018
- Author, "BLG Represents First Bitcoin Market Participant to be Approved by Canadian Securities Administrators", BLG Article, September 2017
- Author, " Canadian Regulators Unveil Draft Rules to Permit the Offering of Alternative Funds to Retail Investors", BLG Article, October 2016
- Author, "Canadian Regulators Grant Exemption to Allow "Notice and Access" for Investment Fund Securityholder Meetings", BLG Article, September 2016

Beyond Our Walls

Professional Involvement

- Former Vice Chair, Legal and Compliance Working Group, Investment Funds Institute of Canada
- Member, Alternative Investment Management Association Canada
- Member, Ontario Bar Association

Community Involvement

- Director, West Park Healthcare Centre Foundation
- Volunteer, BLG Reads to Kids Program

Awards & Recognitions

- Recognized in the 2024 edition (and since 2017) of the *Chambers Canada — Canada's Leading Lawyers for Business* (Investment Funds).
- Recognized in the 2024 edition (and since 2023) of *The Best Lawyers in Canada* (Mutual Funds Law and Private Funds Law).
- Recognized as a Stand-out Lawyer by *Thomson Reuters*.
- Recognized in every edition of *The Canadian Legal Lexpert® Directory* (Investment Funds and Asset Management) since 2013.
- Received a "Rising Stars" award from *Lexpert®* in 2011.

Bar Admission & Education

- Ontario, 2001
- Executive Education - Accelerated Leadership Program, Harvard Law School, 2017
- LLB, Queen's University, 1999
- BA (Hons.), Queen's University, 1996

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