

## Lawyer Profiles



### Bruce O'Toole

#### Partner

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#### Associations

Member of The Advocates' Society

#### Education

Called to the Bar – 2003

LL.B., University of Toronto – 2002

M.Sc., University of Toronto

B.Sc., University of Toronto

Bruce is an experienced commercial litigator with an established expertise in litigation involving the capital markets and financial services industry. He has broad experience in defending class action claims, including matters involving secondary market liability, tax shelters, investment schemes and price fixing. He also has considerable experience in complex securities regulatory matters. He has represented clients subject to investigations and in enforcement and disciplinary proceedings before the Ontario Securities Commission (OSC), the Joint Serious Offences Team (JSOT), the Investment Industry Regulatory Organization of Canada (IIROC) and the Mutual Fund Dealers Association of Canada (MFDA). Bruce also has a great deal of experience in assisting clients with various compliance and registrant regulation issues.

In addition to his class action and securities regulatory expertise, Bruce has diverse civil litigation experience in matters involving general corporate and shareholder disputes, directors' and officers' duties and responsibilities and indemnities, mining disputes, negligence and contractual disputes, investment loss claims, employment disputes and administrative law. He has appeared before various courts in Ontario, including the Commercial Court and the Court of Appeal.

### Speaking Engagements & Publications

Author, Moving a Book of Business - Potential Pitfalls, May 31, 2018

Co-Author, "ONCA: Miller and Cheng "Ought Reasonably to Have Known" Better", January 31, 2018

Co-Author, "When Is "Close" Close Enough? Assessing the Availability of the Family, Friends and Business Associates Prospectus Exemption", PCMA E-News Brief, Sept 26, 2017

Speaker, "Securities Litigation – Identifying and Limiting the Risk of Regulatory and Civil Litigation", Client Conferences, 2014 and 2015

Speaker, "Navigating the Perfect Storm: Effectively Managing Broker-Dealer Regulatory, Employment and Litigation Issues", Securities Litigation and Enforcement Conference, 2013

Speaker, "Trends in Sanctions", Securities Litigation Symposium, 2011

Speaker, "Applying Ethical Judgment to Serve your Clients", Financial Planning Standards Council, October, 2010

