



firm profile

McMillan is a modern and ambitious business law firm serving public, private and not-for-profit clients across key industries in Canada, the United States and internationally. With recognized expertise and acknowledged leadership in major business sectors, we provide solutions-oriented legal advice through our offices in Vancouver, Calgary, Toronto, Ottawa, Montréal and Hong Kong. Our firm values – respect, teamwork, commitment, client service and professional excellence – are at the heart of McMillan’s commitment to serve our clients, our local communities and the legal profession. For more information, please visit our website at www.mcmillan.ca.

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regulatory compliance

overview

The financial services industry faces a complicated regulatory landscape. Complex new regulatory requirements are continually imposed and rigorously enforced. Public demand for greater transparency and corporate accountability continues. The regulatory obligations have never been so great—and the risks of non-compliance have never been so severe.

Operating within this tangled web of regulations can be overwhelming, costly and time-consuming. Responding to an inquiry or investigation by regulators is even more daunting. Engaging skilled legal counsel and developing effective compliance programs will enable you to focus on running your business.

McMillan's Financial Services Group is made up of lawyers who understand the complexity and challenges of the regulations that govern financial services businesses. We know how regulatory requirements intersect and work to ensure business is conducted in compliance with the law.

Our commitment is to help clients understand their regulatory obligations. We work strategically to develop risk management and compliance systems that minimize the potential for regulatory breaches. And if a client faces an investigation by a regulatory body, we prepare a comprehensive response.

McMillan professionals help clients lead by:

- Advising domestic and foreign financial services businesses in connection with structuring, establishing and managing all types of financial services products
- Representing them in connection with regulatory approvals, licences, permits and rulings
- Conducting compliance reviews
- Developing compliance policies and procedures
- Advising boards of directors
- Responding to regulator inquiries and, if necessary, representing them before regulatory bodies or the courts