

Harvey Naglie, BA, MA  
MBA, LLM (2016)  
Member, Investor Advisory Panel  
Ontario Securities Commission

**OSGOODE'S**  
PROFESSIONAL  
MASTER OF LAWS (LLM)  
IN SECURITIES LAW

Develop your expertise with Canada's  
leading Professional LLM for lawyers,  
executives and experienced professionals.

**Program Starts September 2018**

[osgoodepd.ca/securitiesLLM](http://osgoodepd.ca/securitiesLLM)



# Deepen your knowledge, sharpen your skills and challenge your perspective.

The law is always evolving and whether you're a lawyer, executive or experienced securities professional, you need to stay ahead of it. Immerse yourself in a rich learning environment with classmates who are as passionate about learning as you are, and tap into the minds of our faculty who are shaping the debate in this area. Delve deeper into legal issues you currently face and walk away being able to serve your organization and clients at a whole new level.

“For me, completing the LLM in Securities Law program was a very enriching experience. I honed my research and writing skills, I interacted with top professors and practitioners in the securities law field; and I met and worked with highly motivated classmates. The significant payback that I obtained from this program, in terms of the knowledge I gained, the new skills I acquired, and the networking opportunities I was afforded made it one of my best professional development experiences ever.”

**Harvey Naglie, BA, MA, MBA, LLM**  
Member, Investor Advisory Panel  
Ontario Securities Commission

“Osgoode's Securities LLM is a high quality program with unique aspects including a virtual pan-Canadian classroom and a range of reputable lecturers — private practitioners, regulators and academics. The flexible curriculum allowed me to concentrate on issues pertinent to my industry (mining).”

**Trent C.A. Mell, BCL, LLB, LLM**  
VP, General Counsel, Corp. Secretary & Corp.  
& Development, North American Palladium Ltd.

## Program Features



### No prior law degree required

Open to candidates with a JD/LLB and to professionals with a university degree, superior academic record and work experience related to securities.



### Top-notch instruction

Get access to some of the leading minds in Canadian securities and leverage their experiences to help your growth.



### No thesis

Get an academic experience through coursework that deepens your knowledge, but is tailored to the working professional.



### Convenient

You'll take courses in a combination of weekly and intensive formats to minimize your time away from other commitments.



### Build your network

Study and build relationships with professionals from around the globe right in your classroom. These are your future friends, clients and colleagues.



### Accessible from anywhere

Videoconferencing is available for most courses although occasional attendance in person in Toronto is required (refer to website for details on each course).





## Program Format

This two-year, part-time degree requires completion of 36 credits obtained through coursework and a Major Research Paper, or a combination of coursework and a Significant Research Paper.

You won't have to commit to a thesis, but your progress and performance will be evaluated through papers, presentations and take-home assignments. Each LLM incorporates a research requirement, which is typically evaluated on the basis of one or more papers.

## Required Course

### **Foundations of Securities Regulation: Theories and Concepts [6 credits]**

The law of evidence occupies a distinctive position in the administration of criminal justice. This course builds upon basic knowledge of the laws of criminal evidence, seeking to expose and assess the deeper tensions, trends, and problematics that animate this fascinating element of the criminal justice system.

## Sample Elective Courses

### **International Securities Regulation [6 credits]**

Financial transactions no longer recognize national borders. Those involved in securities markets need to pay attention to opportunities outside Canada and also to the regulatory requirements imposed by other jurisdictions, especially the United States. This course canvasses the major developments in international securities transactions. Specific topics include: public offerings of foreign securities in Canada; current status of the Multi-Jurisdictional Disclosure System international private placements; Euro-equity and Eurobond offerings; cross-border M&A transactions; impact of U.S. global offering procedures; U.S. and international disclosure requirements; application of provincial securities laws outside Canada; and international dealer registration.

### **Products, Transactions and Legal Structures [6 credits]**

Securities professionals increasingly need to be familiar with the diversity and complexity of financial products available in today's capital markets. This course introduces a variety of specialized

instruments, which may attract securities regulatory requirements. It considers the advantages and disadvantages of using certain products to raise capital and how these transactions are typically structured from a corporate finance point of view. Specific topics include: varieties of derivatives contracts; the new prospectus rules; targeted shares; PREP Offerings Non-Fixed Price; asset-backed Securitizations Offerings; strip bonds; takeover bids and issuer bids; subordinated debentures; arrangements and other voting transactions; SARs; preferred shares; use of "plain language" offering documents; hybrid securities documents; restricted shares; Internet offerings; and POP/Shelf System.

### **Markets and Market Intermediaries [3 credits]**

This course addresses a number of key issues related to the regulation of trading markets and of market intermediaries in Canada and elsewhere. Topics will include: the emergence and regulation of competitive markets for trading securities; the regulation of derivatives markets, short-selling, trade-throughs, the regulation of the broker-investor relationship, and the MiFid Directive in the EU.

## Complete descriptions for the following courses are available on our website.

- Corporate Governance, Markets and Institutions [6 credits]
- Litigation and Enforcement [6 credits]
- Markets and Market Intermediaries [3 credits]
- Keeping the Market Informed [3 credits]
- Major Research Paper [6 credits]

Note: Faculty, curriculum, course descriptions, degree requirements and tuition are subject to change without notice. Please visit our website for the most up-to-date information.



#### **CPD accredited for legal practitioners**

OsgoodePD is an Accredited Provider of Professionalism Content by the LSUC. All of our LLM courses are eligible for substantive CPD hours and some are eligible for professionalism hours.

## Program Directors

### **Mary G. Condon**

Professor

Osgoode Hall Law School

Vice-Chair, Ontario Securities Commission

### **Heather Zordel**

Partner

Gardiner Roberts LLP

## Past Faculty Includes

### **Timothy Blaikie**

Senior Legal Counsel, Market Regulation

Ontario Securities Commission

### **William Braithwaite**

Chair, Stikeman Elliott LLP

### **Poonam Puri**

Professor, Osgoode Hall Law School

### **Cynthia Williams**

Professor, Osgoode Hall Law School

Osler Chair in Business Law

### **Josée Turcotte**

Deputy Secretary and Independent

Adjudicative Counsel, Ontario Securities

Commission



## Tuition and Fees

The 2017/2018 tuition, which includes both years of the Professional LLM program and required course materials, is \$24,132.02 for domestic students and \$35,537.70 for international students, plus supplementary and additional fees. Please visit the tuition section on our website for complete details on scholarships, payment schedules, and videoconferencing fees. Light meals are provided for students attending classes in person in Toronto.

## Application Deadline

The application deadline for the September 2018 intake is **May 9, 2018**. We recommend submitting your application well ahead of the posted deadline as spaces in this program are limited. Please visit our website to ensure you meet the minimum admission requirements before you apply.



[osgoodepd.ca/securitiesLLM](http://osgoodepd.ca/securitiesLLM)



[admissions-opd@osgoode.yorku.ca](mailto:admissions-opd@osgoode.yorku.ca)



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