



**THOMPSON
DORFMAN
SWEATMAN**



Richard L. Yaffe, Q.C.

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Securities Law

Richard is a partner who practises primarily in the area of securities law, with a corporate and commercial transactional practice and an emphasis on the strategic use of Manitoba limited partnerships.

Richard acts as Manitoba counsel in multi-jurisdictional public offerings being made in Manitoba. He represents issuers and dealers in public offerings of equity and debt securities, has acted in the creation of mutual funds, and has represented portfolio managers and advisers. He provides securities law and governance advice to public companies and assists them in their ongoing annual meeting and continuous disclosure requirements.

Richard's commercial practice focuses on the creation and maintenance of Manitoba limited partnerships, including private equity and investment funds, and he advises and acts on financing and other transactions for those limited partnerships.

EDUCATION

University of Manitoba, BA, Dean's Honour List, 1976

University of Manitoba, LLB, 1979

CALL TO THE BAR

Manitoba, 1980

REPRESENTATIVE CASES/TRANSACTIONS

- Privatization of Manitoba Telecom Services Inc. (counsel to province of Manitoba)
- Substantial issuer bids and normal course issuer bids of Manitoba Telecom Services Inc.
- Medium term note program of Manitoba Telecom Services Inc.
- Public offerings of preferred and common shares of The Great-West Life Assurance Company



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ACHIEVEMENTS

- Appointed Queen's Counsel (Manitoba, 2019)
- Named Winnipeg Securities Law "Lawyer of the Year" by *Best Lawyers* (2017 & 2019) and recognized consistently by *Best Lawyers* in the areas of both Corporate Law and Securities Law
- A leading practitioner, Corporate Finance, *Canadian Legal Lexpert Directory*
- Paul David Russell Prize, University of Manitoba (highest standing in Philosophy major program)

IN THE COMMUNITY

- Chair, Board of Directors, Jewish Foundation of Manitoba
- Chair, Board of Trustees, The Winnipeg Art Gallery Foundation Inc.
- Chair, Legacy Campaign and founding visionary, Winnipeg Art Gallery Inuit Art Centre
- Member, Board of Directors, Royal Manitoba Theatre Centre
- National Board Member, Canadian Friends of the Israel Museum
- Past Chair, Board of Governors, the Winnipeg Art Gallery (1998-2005)

PROFESSIONAL APPOINTMENTS

- Public Member, Manitoba District Council, Investment Industry Regulatory Organization of Canada (IIROC) for the purpose of chairing disciplinary hearings
- Public Representative, Prairie Regional Council, Mutual Fund Dealers Association of Canada (MFDA) for the purpose of chairing disciplinary hearings
- Past Chair, Securities Law Subsection, Manitoba Bar Association

SPEAKING ENGAGEMENTS, TEACHING AND PUBLICATIONS

- Presents regularly across Canada on the creation, strategic use, and maintenance of Manitoba limited partnerships and related transaction considerations





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- Sessional Lecturer, University of Manitoba, Faculty of Law – Negotiation
- Judge, University of Manitoba, Faculty of Law – Annual Negotiation Competition
- Seminar leader and examiner, The Law Society of Manitoba Bar Admission Course – Ethics and Professional Responsibility
- Secretary, Committee on Fund Governance and Conflicts of Interest established by the Ontario Securities Commission to respond to the Stromberg Recommendations for Regulating Investment Funds in Canada
- “Industrial Democracy: A Study of the Bullock Report and its Applicability to Canada”, Manitoba Law Journal (1979)

MEMBERSHIPS

- The Law Society of Manitoba
- Securities Law Subsection, Manitoba Bar Association
- Canadian Bar Association



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