

## Terence W. Doherty

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### Law Practice

Terence Doherty is a principal in the New York office of Stikeman Elliott. His practice focuses on securities and corporate law. Mr. Doherty advises clients with respect to cross-border public and private offerings of securities, investment funds, private equity funds and other alternative investment vehicles. Mr. Doherty advises Canadian and international clients on dealer and adviser registration matters, the regulation of commodity futures and derivatives and marketplace regulation. Mr. Doherty advises clients with respect to compliance and regulatory matters affecting dealers and advisers, including compliance with the dealer-member and market integrity rules of the Investment Industry Regulatory Organization of Canada and the rules of Canadian marketplaces including the Toronto Stock Exchange, TSX Venture Exchange and Bourse de Montréal.

### Professional Activities

Mr. Doherty is a member of the Law Society of Upper Canada, Canadian Bar Association, New York State Bar Association, American Bar Association, Securities Industry and Financial Markets Association - Legal and Compliance Division and the National Society of Compliance Professionals.

### Publications & Conferences

- "National Society of Compliance Professionals", Toronto Regional Conference (May 2010);
- "International Compliance and Regulation", FIA - International Issues Panel (April 2010);
- "Accessing the U.S. Market by a Canadian Investment Dealer", IIAC Webinar (December 2009);
- "Accessing the U.S. Market by a Canadian Investment Dealer", IIAC Industry AM Seminar (October 2009);
- "Canada's New Registration Regime and its Potential Consequences for US-Based Investment Advisers", Investment Advisor Association Webinar (September 2009);
- "Regulators Q&A Session: Your Chance to Ask About Current Initiatives", Toronto Regional Conference - NSCP (June 2009);
- "What Keeps Chief Compliance Officers Up At Night", Toronto Regional Conference - National Society of Compliance Professionals (March 2008);

### Education

Brooklyn Law School (J.D., *cum laude*, 2001), Wilfrid Laurier University (B.A. Honours Economics, 1996), Canadian Securities Institute - Trader Training Course (2006).

**Bar Admission**

New York, 2002

Ontario, 2005