



Sue Featherstone

Securities Regulatory Clerk

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Sue Featherstone is involved with, among other responsibilities, registration matters for all categories of dealers, advisers and investment fund managers; ongoing compliance and regulatory issues; obtaining required regulatory approvals for mergers and acquisitions involving registered firms; and also works with investment fund managers on fund formation and compliance matters, including fund renewal and other filings. She provides support with the preparation of documents for public mutual funds, to the filing of documents on the System for Electronic Analysis and Retrieval (SEDAR).

Sue's experience includes assisting clients with securities registration and self-regulatory organization membership issues. She has extensive experience in obtaining registration in the various categories of registration under all provincial and territorial securities regimes across Canada. Sue has assisted clients to obtain membership with such self-regulatory organizations as the Investment Industry Regulatory Organization of Canada, the Mutual Fund Dealers Association of Canada, and membership with various stock exchanges in Canada.

Sue spent several years as a Senior Compliance and Registration officer within the financial industry and was also Vice-President with a major bank owned investment dealer.