



Marie-Noël Rochon

Lawyer

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Areas of Expertise

- Civil and commercial litigation
- Class actions
- Directors and officers liability
- Securities litigation
- Governance, compliance and investigations (RAMQ, IIROC, AMF, professional orders, etc.)
- Insurance law
- Defamation
- Professional liability and discipline
- Review of compliance manuals, deontological codes and internal procedures, and implementation of compliance

Marie-Noël Rochon's practice encompasses all aspects of civil and commercial litigation, particularly with respect to securities and financial services.

Ms. Rochon regularly acts on behalf of securities advisers and brokers in connection with matters ranging from disciplinary issues or civil and professional liability to the development and application of their regulatory compliance policies. She also assists companies in obtaining authorization from the Autorité des marchés financiers to enter into public contracts.

After completing her law degree with honours from the Université de Montréal, Ms. Rochon earned a master's degree from Queen's University. Her master's thesis addressed corporate governance and securities, particularly regarding directors' duties when adopting defensive measures in the course of a hostile takeover bid.

Representative Work

Visible Gold Mines Inc. of Rouyn-Noranda, Quebec: Participated in the defence against a hostile takeover bid.

National Bank of Canada: Defended against a securities disclosure class action pursuant to the secondary market provisions of the *Securities Act* both in Quebec and Ontario.

Reviewed compliance manuals, internal procedures and agreements of major securities brokers.

Implemented regulatory compliance policies and procedures for major securities brokers.

Assisted companies in obtaining authorization from the Autorité des marchés financiers to enter into public contracts.

Conferences and Publications

Co-speaker, "Gatekeepers : le rôle des protecteurs des marchés – du rêve à la réalité," Barreau du Québec continuing legal education seminar on recent developments in securities litigation, November 22, 2013, InterContinental Montreal Hotel.

Co-author, "Le rôle essentiel des "gatekeepers" dans le contexte de l'encadrement des marchés financiers – Modifications législatives récentes," Service Barreau du Québec continuing legal education, *Développements récents en litige de valeurs mobilières*, Vol. 376, Cowansville, Éd. Yvon Blais, 2013, pp. 45-75.

Co-author, "Are You in a Conflict of Interest? Outside Business Activities Through the Lens of the Regulator," *Focus*, Heenan Blaikie, June 2013.

Co-author, "Second Phase of the CRM Project: Additional Disclosure of Charges and Performance Reports," *Focus*, Heenan Blaikie, April 2013.

Author, "Court of Appeal Reiterates the Importance for Investors to Conduct Due Diligence," *Focus*, Heenan Blaikie, February 2013.

"Un horizon de changements s'ouvre à vous : apprivoiser le nouveau Modèle de Relation Client-Conseiller," conference held on January 25, 2013.

Co-author, "Canadian Securities Administrators Consultation Paper 33-403: A Step Towards a Potential Fiduciary Duty for Advisers and Dealers," *nota bene*, Heenan Blaikie, November 2012.

Co-author, "Un horizon de changements s'ouvre à vous : apprivoiser le nouveau Modèle de Relation Client-Conseiller," part of a series of breakfast conferences held by the Investment Industry Regulatory Organization of Canada on September 20, 2012.

Author, "Dialogue of the Deaf: The Interaction between Corporate Law and Securities Law in Canada," Queen's University, Faculty of Law, August 2010 (master's thesis, available at the Lederman Law Library).

Awards and Recognition

Bursary from the University of San Diego to attend Oxford University, in England, for one semester

Queen's University Graduate Award for master's thesis

Education

LL.M., Queen's University, 2010

LL.B. (with honours), Université de Montréal, 2009

Call to the Bar

Quebec, 2012

Professional Associations

- Barreau du Québec
- Young Bar Association of Montreal
- Canadian Bar Association
- Association of Certified Anti-Money Laundering Specialist (ACAMS) – Montreal Chapter