



HARVEEN THAULI

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CONTACT

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PROFESSIONAL PROFILE

Experienced arbitrator, professional conduct and securities lawyer with diverse legal skills and background. Dedicated professional with a strong sense of vocation. Skillful in identifying, analyzing and solving problems, which are enhanced by tenacity, sense of right and the ability to think creatively. Excellent listener and skilled communicator with great empathy and emotional intelligence.



ARBITRATION & SPORTS EXPERIENCE

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SPORTS ARBITRATOR

Fédération Equestre Internationale (FEI) Tribunal:

November 2017 to November 2023

The FEI is the international governing body of equestrian sport located in Lausanne, Switzerland.

- Elected by the FEI's General Assembly as the first Canadian Member of the FEI Tribunal.
- Specifically selected as a Member of the Ad Hoc panel of Arbitrators for the 2020/2021 Summer Olympic Games in Tokyo, Japan.

UK Sport Resolutions:

April 2021 to March 2024

Sport Resolutions is a UK-based independent, not-for-profit, dispute resolution service for sport operating globally.

- Appointed as a Roster Arbitrator to the International Tribunal.

Sports Dispute Resolution Centre of Canada (SDRCC):

May 2021 to April 2025

The SDRCC is an independent, not-for-profit, organization that ensures access to alternative dispute resolution solutions for all participants in the Canadian sport system at the national level.

- Selected as a Roster Arbitrator to the Ordinary Tribunal and the Doping Tribunal.

Thauli Sports Law:

2019 to present

- Provide legal advice on sports related matters, including advising on regulatory investigations, disciplinary proceedings, governance issues, and compliance and risk management.

ARBITRATOR

British Columbia Farm Industry Review Board (BCFIRB):

November 2019 to present

BCFIRB is an independent administrative tribunal that operates at arm's length from the government. BCFIRB hears appeals and complaints as well as supervise BC's regulated agricultural and commodity boards and commissions.

- Appointed by the Province of BC as a Member of the Appeals, Complaints, and Supervisory Tribunals.



LEGAL EXPERIENCE

thaulilaw@shaw.ca | www.thaulilaw.ca

Sole Practitioner:

2013 to present

Securities Litigation

- Plan and write comprehensive legal submissions on allegations of breaches of the *Securities Act* (British Columbia), including fraud, misrepresentation, insider trading and illegal distributions, and represent clients before regulatory bodies.
- Successfully argued in the BC Court of Appeal that the penalties imposed on the appellant were disproportionate given the amount involved in the alleged fraud and his unblemished record.

Securities Transactions and Compliance

- Provide legal advice and prepare documents on all matters related to corporate/securities transactions and securities law compliance.

Independent Counsel:

2013 to present

Professional Conduct

- Specifically retained for subject matter expertise in securities and anti-money laundering legislation to investigate corporate/securities lawyers.

Teacher

- Taught the fall 2018 session of the Professional Legal Training Course (PLTC), a mandatory 10-week program that articulated students must complete for admission to the Bar of BC. Retained as a substitute teacher to evaluate students, mark assessments and exams.

Litigation

- Retained as Associate Counsel to represent the Insurance Corporation of BC (ICBC) in motor vehicle accidents. (2015 to 2016)
- Assisted with representing the defendant developer against approximately 85 plaintiffs in a complex commercial litigation matter. (2013 to 2014)

Staff Lawyer:

2010 to 2012

The Law Society of British Columbia: Professional Conduct Department

- Conducted detailed investigations of lawyers alleged to have breached the *Legal Profession Act*, the Law Society Rules, and/or the *Code of Professional Conduct*.

Senior Legal Counsel:

2007 to 2009

The British Columbia Securities Commission: Corporate Finance Department

- Selected to develop legislation, including harmonizing National Instrument 45-106 *Prospectus and Registration Exemptions* and National Instrument 45-102 *Resale of Securities*.
- Analyzed and determined discretionary relief applications for reporting issuers with the objective of facilitating business without compromising investor protection or market integrity.



Senior Investigator/Investigator:

2002 to 2007

The British Columbia Securities Commission: Enforcement Department

- Conducted detailed investigations into breaches of the *Securities Act*, including allegations of fraud and misconduct in the securities markets.

Associate

- Morton LLP (2000 to 2002): Securities: public and private companies.
- Goldman Mathiesen (1999 to 2000): Corporate/commercial, civil litigation and collections.
- Mouzourakis & Company (1998 to 1999): Primarily plaintiff personal injury and commercial litigation.
- Lemer Kambas Galbraith (1996 to 1998): Primarily ICBC defence and construction.
- Derpak & White (1995 to 1996): Articled Student.

COMMUNITY/PRO BONO ACTIVITIES

- Presented a webinar called “Locking Down the Basics: A Securities Law Primer” offered by the Canadian Bar Association – BC Branch. (April 2018)
- Participated as a member of the Bylaws & Rules Revision Subcommittee for a Vancouver sports and recreational facility. One of three lawyers rewriting the bylaws and rules for this 8,000-member club. Drafted detailed disciplinary procedures, which will now survive a court challenge. (2008 to 2012)
- Appointed to serve on the Advisory Committee to the Judicial Council of BC of the Canadian Bar Association (BC Branch). Responsible for assessing the suitability of applicants for the Provincial Court Bench and influencing the Judicial Council’s decision to grant interviews to potential candidates. (2009 to 2011)
- Provide free legal advice on behalf of either Access Pro Bono Society of BC or on my own initiative to those persons who cannot obtain legal aid or afford a lawyer. Recognized for providing practical and strategic solutions. (2009 to present)

EDUCATION

Legal Education

Juris Doctor: University of Western Ontario (1995)

Bachelor of Civil Law: Laval University (1994)

Bachelor of Commerce: University of British Columbia (1989)

Designations and Certifications

Chartered Arbitrator: ADR Institute of Canada

Certificates: Derivatives Fundamentals Course (2008), Going Public and Continuous Disclosure (2000), Canadian Securities Course (1997), and French as a Second Language (1990)

PROFESSIONAL ASSOCIATIONS

- Member of the Law Society of British Columbia
- Member of the Canadian Bar Association (BC Branch)
- Member of the Women’s White Collar Defense Association
- Member of Women in Sports Law