

July 2024

CURRICULUM VITAE

John Pearson Allen

350 Wellington Street West, Suite 205
Toronto, Ontario, M5V 3W9
www.allenmalek.ca

DEGREES

- PhD Law Doctorate of Laws. Osgoode Hall Law School, York University, 2014.
“Securities Regulation of Ontario Venture Issuers: Rules or Principles?”
- LL.M. Master of Laws. Osgoode Hall Law School, York University, 2001.
Securities law specialization.
- LL.B Bachelor of Laws. Queen’s University, 1989.
- B.Sc. Bachelor of Science (Agriculture). University of Guelph, 1985.
- B.A. Bachelor of Arts (History). Queen’s University, 1982.

TEACHING EXPERIENCE

- 2018 to 2024 Humber Business School – Bachelor of Paralegal Studies – Tort Law, Contract Law,
Employment Law, Business Law, Legal History.
- Humber Post Graduate Entrepreneurial Enterprise, Business Management program -
Business and IP law.
- Jan. 2013 to Ryerson University, Advanced Business Law, three sections. (now Toronto
Apr. 2013 Metropolitan University - “TMU”)
- Jan. 2012 to Ryerson University (TMU), Business Law, three sections.
Apr. 2012
- Sept. 2011 to Ryerson University (TMU), Business Law, two sections.
Dec. 2011
- 2005-2007 Humber Business School – Bachelor of Paralegal Studies – Evidence Law.
- 2004-2006 Humber Business School – Bachelor of Paralegal Studies – Tort and Contract Law.

WORK EXPERIENCE

1992 - present **Allen & Malek LLP, Barristers and Solicitors (formerly, Allen & Allen)**
General practice, downtown Toronto

For the first ten years of my practice, I was primarily a barrister with a focus on criminal law (including a murder trial and other serious cases) and regulatory offences. As a barrister, I have negotiated and litigated hundreds of criminal, quasi-criminal, civil, contracts, estate, and administrative law cases.

During the last twenty-two years, my practice has shifted to business law and estate planning. I have enjoyed a varied practice, including the securities regulation of public issuers listed on the TSX-Venture Exchange. I have acted as counsel for many private businesses (both domestic and foreign owned). I have assisted with start-up financings, employment contracts, royalty agreements, re-organizations, corporate and business sales, transfers, contracts, and shareholder agreements. I have handled many estate matters, including disputes regarding the administration of estates.

1991-92 **Law Clerk to the Ontario Superior Court**
As a law clerk for the Ontario Superior Court, I was responsible for legal research for approximately fifteen Justices.

PUBLICATIONS

Law Books:

- (1) **How to Administer an Estate in Ontario**
[Self published on Amazon.ca in August 2020. Frequently, No. 1 bestseller on Amazon.ca under the category “Estates and Trusts”.]
- (2) **Estate Planning Handbook**
[Carswell, 5th edition published in 2019, also the co-author of the 2nd, 3rd and 4th editions.]
This handbook is a practical guide to estate planning. It is co-authored with Brian J. Quinlan, a chartered accountant. It discusses common estate planning situations, such as the young couple, the second marriage, the family business, and the vulnerable client.
- (3) **Handling Provincial Offence Cases in Ontario**
[Carswell, published annually since 2007]
This handbook, co-authored with Justice Libman of the Ontario Court of Justice, provides systematic guidance for handling provincial offence cases in Ontario, ranging from driving offences to complex provincial offences.
- (4) **Defending Provincial Offence Cases in Ontario**
[Carswell, 1995, updated annually until 2002]
This handbook, as part of the Carswell “Canada Practice Guide” series, provided guidance for defending provincial offence cases in Ontario. It was replaced by Handling Provincial Offences, co-authored with Justice Libman.

Journal Articles:

- (1) **“Artificial Intelligence and the Role of Legal Professionals”**
Humber Journal of Paralegal Access to Justice. 2020 edition.
- (2) **“Rules- or Principles-Based Regulation? Factors for Choosing the Best Language Strategy”**
(2015) Canadian Business Law Journal, Vol. 56, p.375,
The article examined the debate between rules- and principles-based regulation and developed factors for assessing which language strategy would be best in a particular regulatory context.
- (3) **“The Character of the Accused”**
(1995) The Advocates Society Journal Vol. 14, No.2.
The article examined the evidential effect of a defence attack on the character of a prosecution witness, and whether, by doing so, the defendant opens some or all of her or his own character to rebuttal attack.
- (4) **“Publication Restrictions and Criminal Proceedings”**
(1994) The Criminal Law Quarterly, Vol. 36, No. 2.
Co-authored with Professor Thomas Allen. The article examined the constitutional and criminal law provisions regarding publication restrictions of criminal trials in Canada.

Newsletters:

- (1) **“RegQuest” - Regulatory Offences and Compliance Newsletter** [Carswell]
A monthly update on regulatory offences and compliance in Canada with Justice Libman and Professor Aron. Contributor from Jan 2008 until Sept 2010.
- (2) **LexisNexis (Quicklaw) Securities Law Netletter** [2001 to 2006]
Author of the Securities Law “Netletter”, electronically published by Quicklaw and then by LexisNexis. A monthly summary of significant Canadian securities regulations, and administrative and court decisions.

SEMINAR EXPERIENCE

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| 2013 | Thomson Reuters webinar on Succession Planning with Brian J. Quinlan, chartered accountant. |
| 2012 | Thomson Reuters webinar on Estate Planning, with Brian J. Quinlan, chartered accountant. Two Wills, Alter Ego trusts, and tax planning. |
| 2011 | Thomson Reuters webinar on Estate Planning, with Brian J. Quinlan, chartered accountant. Wills, trusts, and tax planning. |
| 2010 July | Panelist on the University of Toronto “Getting to Trial” program for foreign trained law students. |
| 2009 Nov | Panelist on the Osgoode Hall Law School program on best practices regarding preliminary inquiries in the Ontario Court of Justice. |

- 2009 April Panelist on the Law Society’s program “Best Practices for Paralegals Appearing before the Ontario Court of Justice.” Topic: “The Latest Procedural and Substantive Developments”.
- 2008 Sept Presented a paper entitled “The right to silence in a regulatory investigation” at the Canadian Bar Association conference on “Criminal Law Issues Affecting Civil Litigators” and participated in a panel discussion on advocacy issues.
- 1995-97 Member of the Canadian Bar Association “Speakers Bureau.”

OTHER PROFESSIONAL ACTIVITIES

- 2019-current Independent director of a Canadian charitable foundation with assets of over \$50 million.
- 2001-current Director and counsel for a number of private ventures, typically resource-based and entrepreneurial ventures.
- 2019 - current Humber College Research Project - “Artificial Intelligence and the core competencies for legal professionals. What should we be teaching?”.
- 2018-2019 Humber College “Teaching Excellence Program”, a one-year intensive program for faculty to inform professional practice, critically assess the teacher/student relationship, and enhance educational skills.
- 2009-2017 Director, counsel, and interim CEO of Peat Resources Limited, a company listed on the TSX Venture Exchange. The company was formed to explore, develop and produce peat fuel – a sustainable bioenergy resource.
- 2002-2010 Director and counsel for Phoenix Capital Inc., a real-estate company and then an investment trust, formerly listed on the TSX Venture Exchange.
- 1992-1995 Completed the Canadian Securities Course and the Financial Planning Course, offered by the Canadian Securities Institute