



William (Bill) Donegan

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[BLG Beyond AUM Law](#)

Bill is a Senior Compliance Consultant at AUM Law, with extensive knowledge and experience with wealth management and distribution firms. In his role, he provides senior level advisory services to registered individuals, firms and dealers, on all aspects of their securities regulatory compliance obligations and the implementation of securities regulatory requirements.

Bill has particular expertise in navigating compliance for Canadian Investment Regulatory Organization (CIRO) investment dealers and mutual fund dealers. He is well positioned to assist firms with understanding and navigating the opportunities and implications resulting from the recent creation of CIRO. His compliance advisory services include working with registered dealer firms, portfolio managers and investment fund managers, as well as engaging with securities regulators in connection with conduct matters, complaints, investigations, audits and remediation plans. He also provides support for the application and interpretation of complex business conduct policies and procedures.

Bill provides expert and in depth “real life” training to executive, staff and representatives of firms in areas such as identifying and mitigating conflicts of interest, KYC, KYP and assessing suitability.

Prior to joining AUM Law in 2022, Bill managed very large compliance teams and acted as Chief Compliance Officer for the wealth management arms at two major Canadian financial institutions. He oversaw wealth management compliance and has served as Chief Compliance Officer for multiple national investment dealers and mutual fund dealers. He has also been responsible for anti-money laundering compliance, privacy compliance matters and securities registration matters.

Bill is an experienced lawyer and was formerly a member and chair of the IIROC Ontario District Council, a member of the IIROC Ontario District Council Registration Sub-Committee and sat on the MFDA Policy Advisory Committee. He is currently a member of the CIRO Hearing Committee. He is a well-respected and in-demand speaker at industry conferences and events and writes articles on topics of interest to the financial services industry.

Bill has been a life long enthusiast in the sport of rowing. He has competed as an athlete at all levels of the sport, including representing Canada in the World Rowing Championships. Since 1994 he has been an internationally licensed Umpire and has Umpired many international events around the world, including the World Rowing Championships, Pan American Games and the 2020 Tokyo Olympic Games. Bill is also busy helping to organize and Umpire local, provincial and national level rowing events for rowers of all ages and levels.

Beyond Our Walls

Professional Involvement

- Since 1994 certified by World Rowing as an Umpire for international competitions

Bar Admission & Education

- Ontario, 1988
- LLB, University of Toronto Faculty of Law
- M.Phil., London School of Economics and Political Science
- MA, University of Western Ontario
- BA (Hon), University of Western Ontario

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