



Peter Gilmore

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Peter's practice focuses on assisting investment fund managers, exempt market dealers, and advisers on compliance with Canadian securities laws. Peter regularly conducts gap analysis on the policies, procedures, and internal controls of clients to ensure compliance with relevant securities-related obligations. Peter also has experience conducting effectiveness reviews of anti-money laundering (AML) compliance systems and remediating deficiencies. Peter has particular expertise assisting clients with navigating compliance with the Canadian Investment Regulatory Organization (CIRO) requirements for mutual fund dealers and investment dealers. Peter works to understand the business of AUM Law clients to ensure that they develop the appropriate compliance systems and practices.

Prior to joining AUM Law in 2022, Peter worked at the MFDA as enforcement counsel and enforcement policy counsel. He was actively involved with the integration of the MFDA and Investment Industry Regulatory Organization of Canada into what is now the Canadian Investment Regulatory Organization (CIRO). Peter has particular expertise assisting clients with navigating compliance with CIRO requirements for mutual fund dealers and investment dealers.

Bar Admission & Education

- Ontario, 2022
- LL.M, Osgoode Hall Law School, 2022
- LLB, University of Sussex, 2018
- BA, McMaster University, 2016

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