



## Ruoxi Cai

Counsel, AUM

T 437.518.6206

F 416.367.6749

Toronto

[RCai@blg.com](mailto:RCai@blg.com)

[LinkedIn](#)

[AUM Law](#)

[Registrant Regulation & Compliance](#)

Ruoxi's practice focuses on the securities laws that apply to securities registrants, including portfolio managers, dealers and investment fund managers. Before joining AUM in 2023, she began her legal career in-house as legal counsel, then senior legal counsel with a major insurance, investment and financial services company engaged in general corporate and investment fund matters. Ruoxi has experience in securities registrant regulation and compliance, including developing, reviewing and assessing policies and procedures. She also prepares regulatory filings for funds and assists with responses to regulatory inquiries and audits. Ruoxi is fluent in Mandarin.

### Bar Admission & Education

- Ontario, 2018

- JD, Osgoode Hall Law School, 2017
- BA, University of Guelph, 2013

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