

Iva Vranic

Counsel, AUM

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AUM Law
Registrant Regulation & Markets

Iva is an experienced securities lawyer who possesses regulatory and practical expertise gained within and leading legal and compliance teams, as well as with the Ontario Securities Commission. She joined AUM in 2023, with a focus on providing advice on regulatory compliance, conflicts and risk management for registrants.

Iva provides advice on a variety of compliance issues, including registration matters, conflict management, personal trading requirements and obtaining discretionary relief from regulatory requirements. She has been actively involved in drafting comment letters responding to policy initiatives that could impact various business groups.

Prior to joining AUM, she worked at one of Canada's leading banks where she spent the last 14 years in legal and compliance roles of increasing responsibility. Most recently, she led a complex compliance transformation project aimed at optimizing several key conflict management programs, including using and enhancing technological advancements.

Iva also spent 17 years, including nine as a member of the corporate finance leadership team, at the Ontario Securities Commission, where she was a well-known and widely respected regulator.

Iva is an accomplished writer and speaker on topics related to regulatory compliance and risk management. Iva is working within AUM to assist with innovations in leveraging technological solutions to provide efficient legal services. Iva has a passion for regulatory policy and helps clients understand both the potential benefits, as well as the challenges, of enhancing a culture of compliance.

Insights & Events

- Author, "From buybacks to enhanced disclosure: Canadian Securities Administrators signal a shift in regulation", BLG Article, June 2026
- Speaker, New Complaint Handling Regulation in Quebec, PMAC, June 2025
- Author, "Impact of new rules on complaint handling on dealers and advisers", BLG Article, May 2025
- Speaker, IMG Webinar, How to grow, manage and safeguard your Family Office, March 2025
- Speaker, Tortured Registrants Department, The No Errors Tour, BLG's Version, October 2024
- Author, "Let's inspect the OSC's 2024 Registration, Inspections and Examinations Division Summary Report", BLG Article, September 2024
- Speaker, Code of Conduct Monitoring, 2024 Compliance Pension Peers Conference, September 2024
- Speaker, Updates on New Securities Regulation Developments in Canada, Canadian Securities Law and Practice course, June 2024
- Speaker, Ethics Session – Is it a Conflict? Identifying and Managing Potential Conflicts of Interest, FP Canada Financial Planning Conference, November 2023
- Speaker, The Regulatory Compliance Multiverse of BLG and AUM Law, BLG's Investment Management Seminar, Everything Everywhere in Securities Regulation all at Once, November 2023

Bar Admission & Education

- Ontario, 1988

- Canadian Securities Course, Canadian Securities Institute, 1987
- LLB, Queen's University, 1986
- BASc, University of Toronto, 1982

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