

Kimberly Poster

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AUM Law
Registrant Regulation & Markets
Investment Management

As the National Leader and Chief Legal Counsel for AUM, Kim helps lead the service line's team of professionals. She advises on all aspects of registrant regulation and regulatory compliance. With over 28 years of experience navigating complex legal and regulatory frameworks, Kim focuses on registrant regulation, compliance, investment funds and related securities law matters.

Kim advises registered dealers, investment advisers and investment fund managers on a broad range of regulatory and compliance issues. She helps clients manage regulatory risk, develop and implement policies and procedures, and respond to compliance deficiencies and remediation matters. She has also advised domestic and international issuers on the formation and ongoing compliance requirements of various investment vehicles, as well as other securities law matters affecting registered firms.

Kim is recognized by clients for her professionalism, practical judgment, leadership and strategic insight in securities regulatory matters.

Insights & Events

- Author, "A new structure enters the ring: CIRO's Incorporated Approved Person compensation proposal", BLG Article, October 2026
- Author, "AUM Law Regulatory Update newsletter: Brief news (October 2026)", BLG Article, October 2026

- Author, "CSA’s blue-ribbon year in review", BLG Article, October 2026
- Author, "The compliance judges’ scorecard: OSC RIE Division 2026 Annual Report", BLG Article, October 2026
- Author, "What is on display for fund managers: OSC Investment Management Division Annual Summary Report", BLG Article, October 2026
- Author, "Click carefully: Canadian Securities Administrators Staff Notice on cybersecurity practices", BLG Article, July 2026
- Author, "A view from the scenic route: The 2025 OTC derivatives report", BLG Article, July 2026
- Author, "At the crossroads: Proposed amendments regarding insider reporting requirements", BLG Article, July 2026
- Author, "Gas prices are not alone – Regulatory fee increases", BLG Article, July 2026
- Author, "Just over the horizon: 2025 annual report of the OSC’s Investor Advisory Panel", BLG Article, July 2026
- Author, "Looking down the road: The CSA proposes amendments to the issuer bid, take-over bid and early warning reporting regimes", BLG Article, July 2026
- Author, "Navigating the next turn: The RIE Division of the OSC sets out its 2026-2027 examination priorities", BLG Article, July 2026
- Author, "New CIRO guidance on “fit and proper”: Checkpoints ahead", BLG Article, July 2026
- Author, "Setting the GPS for CIRO’s annual priorities", BLG Article, July 2026
- Author, "Under the bright lights: CSA & CIRO illuminate enhanced expectations in phase 2 client-focused reform sweep", BLG Article, December 2025
- Author, "BCSC 2024 Compliance Report Card: A sneak peek of the 2024 CFR sweep findings", BLG Article, October 2025
- Author, "CIRO’s handful of proposals: Phase 5 of the rule consolidation project", BLG Article, April 2025
- Author, "Avoiding compliance déjà vu: CIRO’s compliance report for 2025", BLG Article, February 2025
- Author, "Staying comfortable and current: CIRO continuing education rule proposals", BLG Article, January 2025
- Author, "Firms that use AI systems for any purpose: It’s time to make a to-do list", BLG Article, January 2025
- Author, "Navigating the proposed SEDAR+ System Fee increases without falling apart", BLG Article, January 2025
- Author, "OSC’s draft Statement of Priorities – Staying secure", BLG Article, November 2024
- Author, "Demystifying OBSI’s loss calculation for unsuitably sold illiquid exempt market securities", BLG Article, October 2024
- Author, "Staying ahead of OSC Staff’s Approach to Sustainable Finance", BLG Article, October 2024
- Speaker, “Adapting to the Regulatory Roadmap: Behind the Scenes with Industry Experts”, The Investment Funds Institute of Canada Annual Conference, October 2024

Beyond Our Walls

Professional Involvement

- Member, CAASA Member Advisory Panel

Awards & Recognition

- Recognized in the 2027 edition (and since 2024) of *The Best Lawyers in Canada* (Mutual Funds Law) and in the 2024 edition (Securities Law) and named 'Lawyer of the Year' in 2027 for Mutual Funds Law.
- Recognized in the 2025 edition (and since 2022) of *The Canadian Legal Lexpert Directory* (Investment Funds and Asset Management)

Bar Admission & Education

- Ontario, 1998

- JD, Osgoode Hall Law School, 1996

BLG | Canada's Law Firm

As the largest, truly full-service Canadian law firm, Borden Ladner Gervais LLP (BLG) delivers practical legal advice for domestic and international clients across more practices and industries than any Canadian firm. With over 800 lawyers, intellectual property agents and other professionals, BLG serves the legal needs of businesses and institutions across Canada and beyond – from M&A and capital markets, to disputes, financing, and trademark & patent registration.

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