



## Vivek (Vik) Bali

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Vik's practice focuses on securities regulatory compliance. Vik assists clients, including exempt market dealers, investment fund managers, and portfolio managers in assessing and managing regulatory risk and advises them on their compliance obligations across various regulatory frameworks, including securities and anti-money laundering (AML) laws. Vik also advises clients on the on-going management and distribution of investment products.

Prior to joining AUM in 2022, Vik articulated and then worked in the legal and compliance group at a Canadian financial institution. He gained experience on the various issues that arise concerning registrant obligations, as well as associated legal documents impacting clients in the investment management industry.

## Bar Admission & Education

- Ontario, 2020
- JD, Osgoode Hall Law School, 2019
- BSc. (Biochemistry), York University, 2014

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