

## AUM Law

# Get ahead of your securities compliance requirements with straightforward, practical legal and consulting services.

Practical advice. Fixed-fee plans. Singular focus. We help portfolio managers, dealers and fund managers know what to do and when.

Compliance with complicated Canadian securities regulation is non-negotiable. We help you make sure it's not keeping you or your team members up at night.

With assistance from AUM, you can say goodbye to confusion about changes in regulatory expectations and hello to confidence in your compliance program.

Reach out to your dedicated compliance lawyer or consultant for in-the-moment regulatory support. Or let us help you take a more proactive approach by custom-building a compliance support program from our menu of more than a dozen fixed-fee regulatory compliance services.

Choose from anti-money laundering reviews, policy reviews and updates, compliance audits, NRD filings, team training for groups up to 100+ and more. Package the services you'll use during the next one to three years on an annual fixed-fee plan for cost certainty and peace of mind.

## We provide clarity on what's required to create a strong compliance program, so you can focus on building your business.

It's not just what you do, it's how you do it — and when.

With AUM beside you, you'll understand what you need to do to establish a culture of compliance and grow and operate your business with the certainty that comes with having a strong compliance system. You'll be able to build a compelling case for registration of your firm and individuals, and brainstorm alternatives with the

regulators if you need discretionary relief from requirements. And you'll be prepared for a regulatory audit or sweep, so it goes as smoothly as possible.

It all comes down to prevention, preparation and prioritization — three things that may be a challenge for securities registrants to accomplish on their own. We'll help you minimize your regulatory risks and manage your compliance tasks with skill, precision, speed and practical advice.

AUM can help you:

- Start or grow an investment management or wealth management business, with a robust securities regulatory compliance program that evolves with your business.
- Understand (and meet) your ongoing regulatory compliance obligations under ever-evolving Canadian securities laws.
- Keep track of (and meet) your firm's compliance deadlines.
- Identify and address conflicts of interest in your business.
- Fill temporary resource gaps.
- Comply with the rules and expectations of the Canadian Investment Regulatory Organization (CIRO).
- Properly distribute and operate your private investment vehicles.
- Respond appropriately to regulatory sweeps and regulatory compliance questionnaires.
- Get ready for a regulatory audit, including advance coaching and as much remediation as time allows, support during the review and assistance with responding to any final compliance findings.
- Develop compliance plans that remediate any deficiencies.
- Understand your AML obligations and be ready for FINTRAC audits.
- Keep your team current on securities regulatory developments and expectations through active and lively training sessions.
- Keep your NRD filings up to date.
- Prepare and update compliance policies and procedure manuals.
- Keep account opening documentation current with regulatory expectations.

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## 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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