



## Rachel Palozzi

Law Clerk, AUM

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[AUM Law](#)  
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Rachel has nearly 30 years of experience handling registration and compliance matters. She handles initial and ongoing securities regulatory filings through the National Registration Database (NRD) and other national systems. She also assists adviser and dealer clients in their compliance filings with securities commissions throughout Canada.

Prior to joining AUM, Rachel gained regulatory compliance experience as a registration officer at a securities commission for over seven years.

### Education

- Securities Law Clerk Certificate (Fellowship Level), Institute of Law Clerks of Ontario
- Chief Compliance Officers Qualifying Exam, Canadian Securities Institute



- Canadian Securities Course, Canadian Securities Institute
- Certificate in Dispute Resolution, University of Windsor

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