

# Chris  von Boetticher

## Counsel, AUM

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AUM Law
Registrant Regulation & Markets
Private Funds, Hedge Funds & Alternative Investments
Mutual Funds

Chris's practice focuses on registrant regulatory compliance. Chris guides prospective registrants through the registration process with securities regulators. He also provides existing registrants including portfolio managers, investment fund managers, exempt market dealers, family offices and managers of mortgage investment entities with ongoing advice to help them comply with securities legislation and remain informed of evolving regulatory trends and expectations. Chris also assesses the effectiveness of clients' anti-money laundering compliance systems.

As part of his investment fund manager compliance practice, Chris advises clients on the requirements of operating collective investment vehicles such as real estate investment funds (REITs), private pooled funds, mortgage investment corporations (MICs) and other mortgage investment entities. He also advises clients on the legal and regulatory implications associated with the offering and distribution of the securities of such entities in Canada, including their ongoing client reporting and regulatory filing requirements.

Prior to joining AUM in 2017, Chris worked for over 16 years in the legal department of a large investment management firm and was most recently Vice-President, General Counsel and Secretary. Chris provided extensive advice on public and private fund formations and maintenance, compliance, corporate governance, mergers and acquisitions, and general commercial matters. Chris was previously legal counsel at another investment management firm, prior to its acquisition.

Chris began his legal career as an associate with Bay Street law firms in their corporate and securities law groups where he provided advice on corporate finance, mergers and acquisitions and various other general corporate commercial and securities law matters.

## Insights & Events

- Speaker, “BLG IMG Breakfast Club – Spring Insights for Dealers, Advisers and Investment Fund Managers,” Borden Ladner Gervais LLP, June 2026
- Author, "Highlights from the 2025 OSC Registration, Inspections and Examinations Division Annual Report", BLG Article, September 2025
- Author, "Firms that use AI systems for any purpose: It’s time to make a to-do list", BLG Article, January 2025
- Speaker, "Spring Regulatory and Compliance Webcast," Portfolio Management Association of Canada (PMAC), May 2020
- Speaker, “Regulatory Compliance and Operational Issues for Asset Managers to while Operating Remotely during the COVID-19 Pandemic,” as part of the series Alternative Thinking: Both Sides of the Investment Coin, Canadian Association of Alternative Assets and Strategies (CAASA) podcast, available on Spotify and Apple
- Speaker, “AUM Law & ReSolve Asset Management -Alternative Thinking: Both Sides of the Investment Coin,” CAASA Podcast, April 2020
- Speaker, HFM Toronto Operational Leaders’ Summit 2018, February 2018

## Beyond Our Walls

### Professional Involvement

- Member, Legal, Finance & Compliance Committee, Alternative Investment Management Association (Canada) (AIMA), 2023-present
- Member, Compliance & Operations Group, Canadian Association of Alternative Strategies & Assets (CAASA), 2023-present
- Member, Industry Regulatory & Tax Committee, Portfolio Management Association of Canada, 2019-present

### Community Involvement

- Past director and secretary, Wildlife Preservation Canada

## Bar Admission & Education

- Ontario, 1997

- MBA, University of Toronto, Rotman School of Management, 2004
- JD, Queen's University Faculty of Law, 1995
- BA (Urban Development), University of Western Ontario, 1992

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