Ruoxi Cai

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

Ruoxi advises securities registrants and investment funds on regulatory, compliance and governance matters under Canadian securities laws.

She advises portfolio managers, dealers and investment fund managers on registration, governance, conflicts of interest, know-your-client, know-your-product and suitability obligations, anti-money laundering requirements, risk management, marketing and disclosure, and ongoing compliance. Ruoxi works with clients to navigate complex regulatory requirements, manage compliance risk, and develop practical solutions that support their business objectives.

Ruoxi also advises public and private investment funds on marketing, continuous disclosure and ongoing regulatory obligations. She assists clients in obtaining regulatory relief, and responding to regulatory restrictions and evolving expectations of Canadian securities regulators.

Ruoxi regularly assists clients with regulatory compliance audits, remediation initiatives and responses to securities regulatory authorities. She advises on the development and enhancement of compliance programs, policies and procedures, compliance manuals, employee training, relationship and risk disclosure, and other client-facing documentation.

Where a securities registrant is subject to terms and conditions requiring an independent compliance monitor, Ruoxi can step in and assist in providing this independent oversight of the firm's compliance program. In this role, she evaluates compliance systems and internal controls, oversees remediation initiatives, and works with clients and regulators to address regulatory concerns, strengthen compliance practices, and support the resolution of regulatory terms and conditions.

Ruoxi is also fluent in Mandarin.

Beyond Our Walls

Community Involvement

- Volunteer lawyer, Pro Bono Hotline

Bar Admission & Education

- Ontario, 2018

- JD, Osgoode Hall Law School, 2017
- BA, University of Guelph, 2013

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