



## Iva Vranic

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Iva is an experienced securities lawyer who possesses regulatory and practical expertise gained within and leading inhouse legal and compliance teams, as well as with the Ontario Securities Commission. She joined AUM Law in 2023, with a focus on providing advice and counsel to AUM Law professionals and clients on regulatory compliance, conflicts and risk management for registrants.

Iva has an extensive range of experience in both the private and public sectors. She has provided advice on a variety of compliance issues, including registration reform, conflict management, insider reporting and obtaining discretionary relief from registration requirements. She has been actively involved in drafting comment letters responding to policy initiatives that could impact various business groups.

Prior to joining AUM Law, she worked at one of Canada's leading banks where she spent the last 14 years in legal and compliance roles of increasing responsibility. Most recently, she led a complex compliance transformation project aimed at optimizing several key conflict management programs, including utilizing and enhancing technological advancements.

Iva also spent 17 years, including nine as a member of the corporate finance leadership team, at the Ontario Securities Commission, where she was a well-known and widely respected regulator. She gained an invaluable understanding of regulatory policy and mindsets and their impacts on the financial services industry and the Canadian capital markets.

Iva is an accomplished writer and speaker on various topics related to regulatory compliance and risk management. Iva is working within AUM Law to assist in precedent and knowledge management development and innovations in leveraging technological solutions to provide efficient legal services. Iva is particularly skilled in pulling together cohesive and collaborative groups to work together to achieve agreed objectives. Iva has a passion for regulatory policy and helping AUM Law clients understand both the potential benefits, as well as the challenges, of enhancing a culture of compliance.

## Bar Admission & Education

- Ontario, 1988
- Canadian Securities Course, Canadian Securities Institute, 1987
- LLB, Queen's University, 1986
- BAsC, University of Toronto, 1982

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