



## William (Bill) Donegan

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Bill is a Senior Compliance Consultant at AUM, with extensive knowledge and experience with wealth management and distribution firms. In his role, he provides senior level advisory services to registered individuals, firms and dealers, on all aspects of their securities regulatory compliance obligations and the implementation of securities regulatory requirements.

Bill has particular experience in navigating compliance for Canadian Investment Regulatory Organization (CIRO) investment dealers and mutual fund dealers. He works with registered dealer firms, portfolio managers and investment fund managers, as well as engaging with securities regulators in connection with conduct matters, complaints, investigations, audits and remediation plans. He also provides support for the application and interpretation of complex business conduct policies and procedures.

Bill provides in depth “real life” training to executives, staff and representatives of firms in areas such as identifying and mitigating conflicts of interest, KYC, KYP and assessing suitability.

Prior to joining AUM in 2022, Bill managed very large compliance teams and acted as Chief Compliance Officer for the wealth management arms at two major Canadian financial institutions. He oversaw wealth management compliance and has served as Chief Compliance Officer for multiple national investment dealers and mutual fund dealers. He has also been responsible for anti-money laundering compliance, privacy compliance matters and securities registration matters.

Bill is an experienced lawyer and was formerly a member and chair of the IIROC Ontario District Council, a member of the IIROC Ontario District Council Registration Sub-Committee and sat on the MFDA Policy Advisory

Committee. Bill has been a lifelong enthusiast in the sport of rowing. He has competed as an athlete at all levels of the sport, including representing Canada in the World Rowing Championships. Since 1994 he has been an internationally licensed Umpire and has Umpired many international events around the world, including the World Rowing Championships, Pan American Games and the 2020 Tokyo Olympic Games. Bill is also busy helping to organize and Umpire local, provincial and national level rowing events for rowers of all ages and levels.

## Insights & Events

- Author, "CIRO tackles account transfers", BLG Article, August 2025
- Author, "Impact of new rules on complaint handling on dealers and advisers", BLG Article, May 2025
- Author, "CIRO's handful of proposals: Phase 5 of the rule consolidation project", BLG Article, April 2025
- Author, "Regulators delegate, CIRO regulates", BLG Article, April 2025
- Author, "Avoiding compliance déjà vu: CIRO's compliance report for 2025", BLG Article, February 2025
- Author, "What's new for dealers - CIRO releases Phase 4 of the Rule Consolidation Project", BLG Article, October 2024
- Author, "Fruitful updates in CIRO's Annual Report", BLG Article, September 2024
- Author, "CIRO investment dealer proficiency requirements: What's new and what's next?", BLG Article, September 2024
- Author, "CIRO's serving up proposals for proficiency", BLG Article, July 2024
- Author, "The assorted flavours of CIRO's 2024 priorities", BLG Article, July 2024
- Author, "Watching for the signals: CIRO releases results of first investor survey", BLG Article, June 2024
- Author, "Flame broiled: CIRO's proposed integrated fee model", BLG Article, May 2024
- Author, "CIRO's ambitious three-year strategic plan", BLG Article, April 2024
- Author, "Phase 3 of CIRO's rule consolidation project", BLG Article, April 2024
- Author, "Wakeup call: CIRO compliance priorities for 2024", BLG Article, March 2024
- Author, "CIRO leaps forward with new proposed borrowing rules", BLG Article, February 2024
- Author, "Keeping pace in 2024: CIRO's ransomware response playbook", BLG Article, February 2024
- Author, "It's time: CIRO tackles incorporated advisors", BLG Article, February 2024
- Author, "Cold cash, hot topic: CIRO seeks comments on two short selling proposals", BLG Article, January 2024
- Author, "Regulatory resolutions – CIRO continues rule consolidation project in phase 2", BLG Article, January 2024
- Author, "CIRO requests comments on major changes to Investment Dealer Approved Person proficiencies", BLG Article, September 2023

## Beyond Our Walls

### Professional Involvement

- Since 1994 certified by World Rowing as an Umpire for international competitions

## Bar Admission & Education

- Ontario, 1988
- JD, University of Toronto Faculty of Law
- M.Phil., London School of Economics and Political Science
- MA, University of Western Ontario
- BA (Hon), University of Western Ontario

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