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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

- Auteur, « L'OCRI s'attaque au processus de transfert de compte », article de BLG, août 2025
- Auteur, « Nouvelles règles sur le traitement des plaintes : quelle incidence pour les courtiers et les conseillers? », article de BLG, mai 2025
- Auteur, « CIRO's handful of proposals: Phase 5 of the rule consolidation project », article de BLG, avril 2025
- Auteur, « Regulators delegate, CIRO regulates », article de BLG, avril 2025
- Auteur, « Avoiding compliance déjà vu: CIRO's compliance report for 2025 », article de BLG, février 2025
- Auteur, « What's new for dealers - CIRO releases Phase 4 of the Rule Consolidation Project », article de BLG, octobre 2024
- Auteur, « Fruitful updates in CIRO's Annual Report », article de BLG, septembre 2024
- Auteur, « CIRO investment dealer proficiency requirements: What's new and what's next? », article de BLG, septembre 2024
- Auteur, « CIRO's serving up proposals for proficiency », article de BLG, juillet 2024
- Auteur, « The assorted flavours of CIRO's 2024 priorities », article de BLG, juillet 2024
- Auteur, « Watching for the signals: CIRO releases results of first investor survey », article de BLG, juin 2024
- Auteur, « Flame broiled: CIRO's proposed integrated fee model », article de BLG, mai 2024
- Auteur, « CIRO's ambitious three-year strategic plan », article de BLG, avril 2024
- Auteur, « Phase 3 of CIRO's rule consolidation project », article de BLG, avril 2024
- Auteur, « Wakeup call: CIRO compliance priorities for 2024 », article de BLG, mars 2024
- Auteur, « CIRO leaps forward with new proposed borrowing rules », article de BLG, février 2024
- Auteur, « Keeping pace in 2024: CIRO's ransomware response playbook », article de BLG, février 2024
- Auteur, « It's time: CIRO tackles incorporated advisors », article de BLG, février 2024
- Auteur, « Cold cash, hot topic: CIRO seeks comments on two short selling proposals », article de BLG, janvier 2024
- Auteur, « Regulatory resolutions – CIRO continues rule consolidation project in phase 2 », article de BLG, janvier 2024
- Auteur, « L'OCRI sollicite des commentaires sur les profils de compétences des représentants de courtiers en placement », article de BLG, septembre 2023

Beyond Our Walls

Professional Involvement

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

Bar Admission & Education

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

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