



## Chris Tooley

Counsel, AUM

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[AUM Law](#)  
[Registrant Regulation & Compliance](#)

Chris is a securities lawyer whose practice focuses on advising registered portfolio managers, exempt market dealers and investment fund managers on their obligations under securities legislation and other laws.

Chris helps registrants build their businesses while remaining in compliance with applicable laws. He does so in a proactive manner, getting to know the registrant's business model and personnel and then working with the firm's staff to address and mitigate risks. As part of this function, Chris drafts all manner of contracts, forms, policies and procedures, compliance documentation and training materials. He is proficient with legal matters relating to National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*, the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*, various securities acts that apply to registered firms, among other areas of law. Chris also assists registered firms that have been selected for regulatory audits to respond to the audits and address any remedial work required by the securities regulatory authorities.

Chris has extensive experience with the anti-money laundering requirements applicable to registered firms and leads AUM's efforts in that regard. Chris also has experience acting as a compliance consultant for clients operating under regulator-imposed terms and conditions.

He regularly presents at industry association conferences and seminars on various regulatory topics, with a focus on AML/ATF compliance expectations and securities laws.

## Insights & Events

- Speaker, PMAC 6th Annual Anti-Money Laundering and Anti-Terrorist Financing Training, November 2025
- Speaker, AIMA Compliance Training for Anti-Money Laundering and Anti-Terrorist Financing - Canada, September 2025
- Speaker, CAASA Annual Anti-Money Laundering and Anti-Terrorist Financing for Registrants, September 2025
- Author, "FINTRAC imposes administrative monetary penalties on securities dealers", BLG Article, July 2025
- Speaker, PMAC 5th Annual Anti-Money Laundering and Anti-Terrorist Financing Training, November 2024
- Author, "Dancing to FINTRAC's beat: Expectations for client monitoring", BLG Article, August 2024
- Author, "Don't get lost in the crowd – FINTRAC rules for the mortgage industry", BLG Article, August 2024
- Author, "No time for a power nap: Additional FINTRAC sanctions to action", BLG Article, March 2024
- Speaker, PMAC 4th Annual Anti-Money Laundering and Anti-Terrorist Financing Training, November 2023

## Bar Admission & Education

- Ontario, 2014
- JD, Queen's University, 2013
- BAH, Queen's University, 2010

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