



Chris Tooley

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[BLG Beyond 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 registers firms with securities regulatory authorities and provides them with the documentation required to onboard clients and operate their businesses. He also trains representatives, executives and staff of clients on their regulatory obligations, advises them on an ongoing basis, and guides them through regulatory audits carried out by the securities regulatory authorities and FINTRAC. Chris helps clients build their businesses while remaining onside securities laws and regulations.

Chris works closely with Chief Compliance Officers, Ultimate Designated Persons, directors, and other executives at registered firms.

Chris has expertise on the anti-money laundering requirements applicable to registered securities firms and leads BLG Beyond AUM Law's efforts in that regard. Chris 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.

Before joining BLG Beyond AUM Law in 2015, Chris worked with the Canadian federal government where he participated in drafting legislation for the Cooperative Capital Markets Regulatory Framework (CCMR).

Insights Rollup

- 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

Bar Admission & Education

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

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