



## Ayn Greaves

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In her role as a compliance consultant with AUM Law, Ayn uses her 20+ years of varied industry expertise and experience to help clients registered as advisers, dealers and investment fund managers, navigate the increasingly complex securities regulatory environment.

Ayn's role involves working with AUM Law professionals and our clients advising on ways to identify and mitigate their regulatory compliance risk exposure. Ayn conducts compliance audits, including AML reviews, and advises clients on compliance, risk and governance matters to assist in resolving compliance issues. In addition, Ayn updates clients' policies and procedures to align with regulatory expectations and develops training materials and other tools to help our clients meet their regulatory obligations.

Ayn started her financial services career at a self-regulatory organization and has held various progressively responsible roles in investment advisory, wealth management and banking firms. She joined AUM Law in 2022. She has extensive compliance, governance, and risk management expertise and skills and an advanced understanding of Canadian Investment Regulatory Organization and Canadian Securities Administrators' rules, policies and by-laws, as well as their related guidance and financial services industry standards and best practices.

Ayn obtained the Certification in Risk Management Assurance (CRMA) designation in 2017, further enhancing her skills and ability to interpret regulatory changes, risk assess impacts and advise clients on how to address regulatory compliance matters while maintaining and improving their compliance framework and programs.

## Education

- BA, Mount Allison University, 1996

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