



## Richard Roskies

### Senior Legal Counsel, AUM Law\*

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[BLG Beyond AUM Law](#)

Richard is an experienced securities lawyer and has worked with the other senior lawyers at AUM Law to develop their practice and regulatory compliance services since he joined in 2012. Richard's regulatory and compliance practice focuses on assisting portfolio managers, exempt market dealers and investment fund managers in complying with Canadian securities law and advising them on how to understand and meet securities regulators' expectations and build a strong compliance culture. He also regularly engages with securities regulators on behalf of clients in connection with registration matters, compliance audits and regulatory proceedings.

Richard has acted as a primary compliance consultant in connection with clients' remediation of compliance deficiencies when operating under regulatory imposed terms and conditions. Richard has particular expertise in helping clients understand the regulatory expectations around identifying, managing and mitigating conflicts of interest. He has also participated in the formation of investment funds and corporate transactions for clients.

A large part of Richard's practice also focuses on advising registrant firms on cybersecurity and privacy considerations. He helps registrant firms develop and test the effectiveness of cyber-security policies and procedures, incident response plans, and cyber-security risk management to document that a firm has taken reasonable steps to safeguard client data. Richard has also advised clients on the regulatory implications of starting a business that intends to conduct an Initial Coin Offering (ICO) or that uses blockchain technology.

Richard has experience in assessing the effectiveness of a client's anti-money laundering (AML) compliance systems and assisting clients with AML audits conducted by Canadian anti-money laundering regulators

(FINTRAC). In addition, he has helped clients navigate the complaint process operated by the Ombudsman for Banking Services and Investments (OBSI).

Richard is an accomplished public speaker and takes pride in conducting training sessions for groups of registrants – executive, representatives and staff – that are lively, interesting and provide valuable insights. He regularly participates in industry and client seminars and conferences. Richard is adept at cutting through the complexities to the heart of the particular regulatory requirement and what it might mean for registrants.

Before joining AUM Law, Richard began his legal career at a large law firm in downtown Toronto.

## Insights Rollup

- Speaker, "Compliance Officers' Network Meeting – Total Cost Reporting Update," Portfolio Manager Association of Canada, June 2023
- Speaker, "What to make of Total Cost Reporting," Portfolio Manager Association of Canada, June 2022
- Speaker, "Intensive Course in Canadian Securities laws and Practice," Osgoode Law School, February 2022
- Speaker, "Client Focused Reforms," IMG Fall Seminar, November 2021
- Speaker, "Getting Ahead of the Client Focused Reforms," TD Asset Management, August 2021

## Beyond Our Walls

### Professional Involvement

- Member, Law Society of Upper Canada
- Member, Registrant Advisory Committee, Ontario Securities Commission (2 Year Term)

### Community Involvement

- Volunteer, Hockey Coach Avenue Road Hockey Association

## Awards & Recognitions

- Recognized in the 2024 edition of *The Best Lawyers in Canada*® (Mutual Funds Law and Securities Law).

## Bar Admission & Education

- Ontario, 2011
- JD, Queen's University, 2010
- BComm, McGill University, 2006



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