



Chris Tooley

Senior Legal Counsel, AUM Law*

T 416.966.2004 x234

F (866) 627-2299

Toronto

CTooley@aumlaw.com

[BLG Beyond AUM Law](#)

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 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 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).

Bar Admission & Education

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

*AUM Law Professional Corporation (“AUM Law” and “AUM”) is wholly owned by Borden Ladner Gervais LLP (“BLG”) but is a separate legal entity that is licensed in Ontario to directly or indirectly provide legal or other services to clients.

AUM and BLG operate and carry on business as separate legal entities. They are not one partnership and therefore neither AUM nor BLG is responsible for the acts or omissions of, nor has any authority to obligate or otherwise bind, the other.

BLG | Canada's Law Firm

As the largest, truly full-service Canadian law firm, Borden Ladner Gervais LLP (BLG) delivers practical legal advice for domestic and international clients across more practices and industries than any Canadian firm. With over 725 lawyers, intellectual property agents and other professionals, BLG serves the legal needs of businesses and institutions across Canada and beyond – from M&A and capital markets, to disputes, financing, and trademark & patent registration.

[blg.com](https://www.blg.com)

© 2023 Borden Ladner Gervais LLP. Borden Ladner Gervais LLP is an Ontario Limited Liability Partnership.