

2023 ANNUAL LEADERSHIP CONFERENCE



THE INVESTMENT
FUNDS INSTITUTE
OF CANADA

L'INSTITUT DES FONDS
D'INVESTISSEMENT
DU CANADA

Thursday, October 5
Toronto Region Board of Trade
100 Queens Quay East

Bill Donegan Senior Compliance Consultant AUM Law



Bill is a Senior Compliance Consultant at AUM Law, with extensive knowledge and experience with wealth management and distribution firms. In his role, he provides senior level advisory services to registered individuals, firms and dealers, on all aspects of their securities regulatory compliance obligations and the implementation of securities regulatory requirements. He has particular expertise in navigating compliance for Canadian Investment Regulatory Organization (CIRO) investment dealers and mutual fund dealers. Bill is well positioned to assist firms with understanding and navigating the opportunities and implications resulting from the recent creation of CIRO. His compliance advisory services include working with registered dealer firms, portfolio managers and investment fund managers, as well as engaging with securities regulators in connection with conduct matters, complaints, investigations, audits and remediation plans. He also provides support for the application and interpretation of complex business conduct policies and procedures. Bill also provides expert training to firms so they can meet their requirement to provide training in areas such a conflict of interest and suitability.

Prior to joining AUM Law, Bill managed very large compliance teams and acted as chief compliance officer for the wealth management arms at two major Canadian financial institutions. He oversaw wealth management compliance and has served as Chief Compliance Officer for multiple national investment dealers and mutual fund dealers. He has also been responsible for anti-money laundering, privacy compliance matters and securities registration matters.

Bill is also an experienced lawyer and was formerly a member and chair of the IIROC Ontario District Council, a member of the IIROC Ontario District Council Registration Sub-Committee and sat on the MFDA Policy Advisory Committee. He is currently a member of the CIRO Hearing Committee. He is a well-respected speaker at industry conferences and events and writes articles on topics of interest to the financial services industry.