



Education Session No. 284:
Strategically Anticipating & Managing the Impact of Regulatory Reform

September 20, 2011 at 6 PM
San Francisco CA

With the expansion of the SEC's jurisdiction and mission through regulatory reform, a hedge fund adviser's efficiency in anticipating and managing the impact of the onslaught of new regulation is critical to its investment and business success. Please join senior hedge fund legal and compliance practitioners for an interactive discussion that will highlight how advisers can better tailor their regulatory risk mitigation practice to specific areas of recent SEC focus.

The discussion will include:

- An assessment of the SEC's new focus on investment advisers in examinations and enforcement, including best practice for managing compliance with disclosed investment strategies and risks, redemption and liquidity terms, trading practices, and enforcement actions against CCOs.
- The cumulative effect of new disclosure requirements: Form ADV, Form PF, FATCA
- How firms should manage issues created by the regulation of political contributions, including the SEC's pay-to-play rule and California's lobbying rules for placement agents

Participants

Helene Morrison, *Moderator*, Hall Capital Partners LLC
Mark Perlow, K & L Gates LLP
Danell Doty, Passport Capital LLC

Event Details

Date: September 20, 2011

Time: 5 PM Registration.

We will begin *promptly* at 6 PM; please arrive early. Since it is disruptive to everyone when latecomers enter the session, those arriving after an education session has begun will only be admitted at the discretion of 100WHF and the host. Please note the start time on this invite and plan to arrive early.

Networking and cocktails prior to session.

Host: K & L Gates LLP

Location: K&L Gates LLP

Four Embarcadero Center, Suite 1200, San Francisco, CA 94111 - [Directions](#)

RSVP: http://www.100womeninhedgefunds.org/pages/event_registration.php

This event is NOT FOR ATTRIBUTION.

Admission is free, but there is a \$25 charge if you register and do not attend, even if you cancel in advance. No-show proceeds will be donated to the Clinton Global Initiative's US Childhood Obesity Prevention Program, the 2011 beneficiary of 100WHF's US philanthropic initiatives.

If you have no-show fees in arrears, the system cannot register you for an event. You can view and pay for any outstanding no-show fees online from your member profile at:

http://www.100womeninhedgefunds.org/pages/my_profile.php

Space is limited. No walk-ins will be permitted.

Biographies

Helane Morrison, General Counsel & CCO, Hall Capital Partners LLC

Helane L. Morrison is a Managing Director, General Counsel, and Chief Compliance Officer of Hall Capital Partners LLC. She is also a member of the firm's Executive Committee.

Prior to joining the firm in 2007, Ms. Morrison headed the San Francisco Office of the U.S. Securities and Exchange Commission ("SEC") from 1999 to 2007. In her capacity as Regional Director and earlier as District Administrator, Ms. Morrison was responsible for securities enforcement, litigation, and regulatory matters in Northern California and five Northwest States. From 1996 to 1999, Ms. Morrison was head of enforcement for the San Francisco SEC office. She represented the SEC in legal, business, and financial communities, as well as with other government agencies and news media.

Previously, Ms. Morrison practiced law at the San Francisco law firm Howard, Rice, Nemerovski, Canady, Falk & Rabkin from 1986 to 1996 where she was elevated to partner in 1991. Her practice focused on business litigation and defense of private securities actions and SEC matters. She also conducted internal corporate investigations. Before entering private practice, Ms. Morrison served as a law clerk for Supreme Court Justice Harry A. Blackmun (1985-1986) and Hon. Richard A. Posner of the U.S. Court of Appeals for the Seventh Circuit (1984-1985).

Ms. Morrison has served as a Director of the Bar Association of San Francisco ("BASF") and a member of the BASF Judiciary Committee. Ms. Morrison served as a Lawyer Representative (Northern District of California) to the Ninth Circuit Judicial Conference, and was Co-Chair. She was a member of the Northern District of California, Civil Justice Reform Act Advisory group. She served on the Board of Directors of the University of California, Berkeley, School of Law Alumni Association and was Secretary of the Board. She was a member of the Federal Courts Committee of the California Bar Association and served on the Contra Costa County Human Relations Commission.

Ms. Morrison received a B.S. in Journalism from Northwestern University and earned a J.D. from the University of California at Berkeley, School of Law, where she was Editor-In-Chief of the California Law Review.

Mark Perlow, Partner, K & L Gates LLP

Mr. Perlow is a partner in the San Francisco office of K&L Gates LLP. His practice focuses on investment management and securities law, and he regularly represents hedge fund managers, mutual funds, investment advisers, fund boards of directors, and broker-dealers on a broad range of regulatory and transactional matters. Before K&L Gates, Mr. Perlow served as senior counsel in the Office of the General Counsel of the Securities and Exchange Commission, focusing on investment management, fund and corporate governance, and enforcement, and he also served in the SEC's Division of Enforcement. Mr. Perlow is a frequent speaker and author on topics relating to investment management and the law, and he teaches a class at the UC Berkeley School of Law on the structure and regulation of capital markets and financial institutions.

Danell Doty, Senior Compliance Officer, Passport Capital LLC

Ms. Doty is a Senior Compliance Officer at Passport Capital, LLC, a global investment firm managing approximately \$4.7 billion in assets. Her responsibilities include a broad range of activities including maintaining the firm's compliance program. Before joining Passport, Ms. Doty served as Director of Fund Administration at Genworth Financial Wealth Management and Treasurer to its mutual fund companies. Ms. Doty was hired at Barclays Global Investors in 1999, where, as Head of Mutual Fund Administration, she was involved in the creation of the iShares products. She then served as Fund Chief Compliance Officer from 2004 to 2006. Prior to BGI, Ms. Doty served in several capacities for London Pacific Group, including Vice President of Operations. She was also instrumental in creating the Govett Funds and the Berkeley Funds.

About K & L Gates LLP

K&L Gates LLP is a global law firm that comprises of nearly 2,000 lawyers who practice in 37 offices located on three continents. K&L Gates represents leading global corporations, growth and middle-market companies, capital markets participants and entrepreneurs in every major industry group as well as public sector entities, educational institutions, philanthropic organizations and individuals. For more information, visit www.klgates.com.

About 100 Women in Hedge Funds (www.100womeninhedgefunds.org)

100 Women in Hedge Funds is a global, practitioner-driven non-profit organization serving over 10,000 alternative investment management investors and professionals through educational, professional leverage and philanthropic initiatives. Formed in 2001, 100 Women in Hedge Funds has hosted more than 250 events globally, connected more than 250 senior women through Peer Advisory Groups and raised globally over \$21.5 million gross for philanthropic causes in the areas of women's and family health, education and mentoring. For more information about 100 Women in Hedge Funds, please visit www.100womeninhedgefunds.org.

Give Back

100 Women in Hedge Funds provides a 'Give Back' program that enables members to match their resources (time, access, financial) to projects that will help us expand our successful initiatives. Visit http://www.100womeninhedgefunds.org/pages/give_back.php today and tell us how you can help.

100WHF *Connect!*

Get *Connected* today! Visit http://www.100womeninhedgefunds.org/pages/membership_connect.php for details and to sign up.

100WHF Access Fee

Have you paid your access fee? If not please go to https://www.100womeninhedgefunds.org/pages/member_payment.php. We appreciate your continued support!