



**100 women in
hedge funds®**

**Education Session No. 348:
Understanding the SEC and NFA Examination Process**

June 19, 2012 at 6 PM
Washington, DC

As a result of Dodd-Frank and regulatory amendments from the CFTC, many sponsors of or advisers to private investment funds or hedge funds may soon find themselves registered with both the SEC and CFTC. To prepare for registration and compliance, come hear from Andrew Bowden, the National Associate for the SEC's Office of Compliance Inspections and Examinations, and Regina Thoele, Associate Director of Compliance at the National Futures Association, speak about their examination programs for investment advisers, commodity pool operators and commodity trading advisers.

Participants

Andrew Bowden, Securities and Exchange Commission
Regina Thoele, National Futures Association
Cary Meer, *Moderator*, K&L Gates

Event Details

Date: June 19, 2012

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 will follow.

Host: K&L Gates

Location: 1601 K Street, NW, **Washington**, DC 20006

(Please see below for directions.)

RSVP: [RSVP Now](#)

If you have any questions about this event, please contact the [Washington DC/Metro Area](#) committee.

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 DonorsChoose.org, the 2012 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](#)

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

Biographies

Andrew Bowden, National Associate, Office of Compliance Inspections and Examinations (OCIE), Securities and Exchange Commission

Drew Bowden joined OCIE in November 2011 and serves as the National Associate for the investment adviser and investment company examination program. Mr. Bowden previously worked at Legg Mason, Inc., and later for Legg Mason Capital Management in various roles, including legal, compliance, operations, sales, service, marketing, and corporate governance. Before joining Legg Mason, Mr. Bowden was a trial attorney and partner at a major Baltimore law firm. He has also served on the Board of Governors and Executive Committee of the Investment Adviser Association. He holds a Bachelor of Arts degree from Loyola University Maryland and a law degree from The University of Pennsylvania.

Regina Thoele, Associate Director of Compliance, National Futures Association

Regina G. Thoele is Senior Vice President of Compliance at National Futures Association (NFA). Her current responsibilities include overseeing the Compliance Department's audit, investigation, financial surveillance, and risk management programs; working on enforcement cases; advising NFA Members on compliance issues; assisting NFA Member committees; participating in industry conferences; and developing and monitoring Compliance Department goals. In addition, Ms. Thoele works with NFA's Legal Department to develop rules and interpretive guidance, makes presentations to NFA's Executive Committee and Board of Directors and to other outside organizations, and develops strategic plans and initiatives for NFA's Compliance Department. From July 1994 until March 1998, Ms. Thoele held the position of Arbitration Manager and was responsible for supervising staff and helping manage the Arbitration program. Ms. Thoele has also served as an adjunct faculty member at the Illinois Institute of Technology, where she taught a compliance course. Prior to coming to NFA, Ms. Thoele attended Indiana University and received a B.S. degree in finance. Ms. Thoele also received her designation as a Certified Regulatory and Compliance Professional through the NASD Institute at The Wharton School.

Cary Meer, Partner, K&L Gates

Ms. Meer is a partner in K&L Gates' Washington, D.C. office and a member of the Investment Management practice group. She focuses her practice on private investment companies, including hedge and private equity funds, Commodity Exchange Act and Investment Advisers Act compliance matters, negotiated mergers and acquisitions of investment advisers and broker-dealers, derivatives and related areas. She holds a JD from Harvard Law School and a BS, summa cum laude, from the University of Pennsylvania's Wharton School.

Directions

Please note that the entrance to K&L Gates is on 16th Street. Entrance to the parking garage is from the westbound side of K Street.

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About K&L Gates

K&L Gates delivers legal services on an integrated and global basis, with nearly 2,000 lawyers located in more than 40 cities across four continents. To learn more 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 300 events globally, connected more than 250 senior women through Peer Advisory Groups and raised over \$25 million for philanthropic causes in the areas of women's and family health, education and mentoring.