



**100 women in  
hedge funds®**

**Education Session No. 370:  
Trends in SEC Examinations and Enforcement**

October 23, 2012 at 12 PM  
San Francisco CA

The recent increase in SEC examination and enforcement is affecting activity, compliance and communications at hedge funds in San Francisco and across the country. Trends in SEC inspection and enforcement activity, together with shared discussion by attendees of their own recent experiences, are the subject of this casual luncheon. Key topics include:

- Changes in examination targeting;
- "Mail order" exams;
- Private equity sweep exams;
- Hot sweep exam issues;
- Form PF and CCP/OTC issues;
- Increased focus on non-financial misdeeds.

**Participants**

**John V. Schrier**, CACEIS - USA  
**Edward Tedeschi**, Rothstein Kass

**Event Details**

**Date:** October 23, 2012

**Time:** 11:30 AM Registration.

We will begin *promptly* at 12 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.

Lunch will be served.

**Hosts:** CACEIS and Merlin Securities, A Wells Fargo Company

**Location:** Wells Fargo

303 Second Street, 5th Floor, Suite 500, North Tower, **San Francisco**, CA 94107 - [Directions](#)

**RSVP:** [RSVP Now](#)

If you have any questions about this event, please contact the [California, North](#) committee.

**This event is NOT FOR ATTRIBUTION. All 100WHF events are private events and we require that no one reports publicly on any aspect of them.**

**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**

**John V. Schrier**, Member of Business Development and Client Relationship, CACEIS - USA

John Schrier joined CACEIS (USA) Inc. in 2009 and currently serves as a member of the Business Development and Client Relationship teams. With over 20 years of legal and tax experience in the area of alternative investments, John is available to consult with clients on a wide range of matters. His positions prior to joining CACEIS (USA) Inc. include serving as the partner in charge of the tax practice and co-head of the investment management practice of a midtown-Manhattan law firm, leading capital markets practice groups as a principal with Big 4 accounting firms, and serving as chief counsel of the U.S. subsidiary of Japan's third-largest investment management firm.

John received a B.A. in Economics, cum laude, from the University of Missouri - Columbia, a Juris Doctorate with honors from the University of Maryland - Baltimore, a Masters Degree in Business Administration from the Smith School of Business, University of Maryland - College Park, and an LL.M. in Taxation from New York University. He is a regular speaker on asset management regulatory compliance and tax matters, including recently at the Investment Advisers Association's annual summit, and before a joint gathering of examiners from the Securities and Exchange Commission, Chicago Board of Exchange and North American Securities Administrators Association as one of three non-governmental speakers to provide instruction on the detection of hedge fund fraud. John is on the Hedge Funds Care Committee of Hearts and a Member of the Society of American Magicians.

**Edward Tedeschi**, Principal, Rothstein Kass

Edward Tedeschi is a principal at Rothstein Kass. Edward is based in the Firm's Walnut Creek office, where he oversees Business Advisory Services for the Western Region and services clients in the Financial Services industry on matters related to alternative investments, asset management, finance, trading, compliance, operations and administration.

Edward joined Rothstein Kass in 2012 and, in addition to client service, he applies his expertise towards expanding the Firm's Business Advisory Services in the areas of senior project management, strategic business planning, strategic relationship development, start-up/lift-out planning and implementation, due diligence services, service provider analysis and selection, compliance services, strategic mergers and acquisitions, business transformation and C-Level role expertise.

Edward has over 30 years of experience in the Financial Services industry. Prior to joining Rothstein Kass, he spent the majority of his career as the Founder and Chairman of HC Associates. He was also Senior Vice President at Lehman Brothers, heading the Western Region for Prime Brokerage and Equity Finance, Chief Operating Officer of Genesis Merchant Group, and Vice President at Morgan Stanley, where he was one of the founding members of Correspondent Clearing, International Operations and Prime Brokerage and performed various roles in global wealth management.



#### **About CACEIS**

CACEIS is a market leading provider with an established and innovative service offering. We have a long history of providing fund administration and banking services to our corporate and institutional clients worldwide. With \$1.4 trillion of assets under administration and \$3.0 trillion of assets under custody, we are a leading player in the global securities services space. Through a network of offices across North America, Europe and Asia, we deliver a wide array of services to our clients, including but not limited to fund administration, custody, depository/trustee services, middle-office outsourcing and transfer agency services. CACEIS is a member of the Credit Agricole Group. For additional information, visit <http://www.caceis.com/>



#### **A Wells Fargo Company**

#### **About Merlin Securities, A Wells Fargo Company**

Merlin Securities, A Wells Fargo Company, is a premier technology solutions provider and prime brokerage services firm offering integrated solutions to the alternative investment industry. The firm serves more than 500 single- and multi-primed managers, providing them with a broad suite of solutions including dynamic performance attribution analytics and reporting, seamless multi-custody services, capital development, 24-hour international trading, securities lending and institutional brokerage. For more information please visit [www.merlinsecurities.com](http://www.merlinsecurities.com)

#### **About 100 Women in Hedge Funds ([www.100womeninhedgefunds.org](http://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.