



**100 women in
hedge funds®**

**Education Session No. 431:
Meet the SEC -- Without an Examination**

November 6, 2013 at 6 PM
Greenwich, CT

Learn more about best trading and compliance practices from senior SEC officials. Paula Drake, the SEC's Chief Counsel of the Office of Compliance and Inspections, and her colleague, Michael Garrity, Associate Regional Director of the Boston SEC Office (whose jurisdiction includes Connecticut) will share their perspectives on what some term the gap between actual trading practices, asset manager compliance policies, and regulatory rules and enforcement. On the hedge fund side, Christopher Messiana, Head of Operations at Marshall Wace, will speak about ensuring day-to-day trading operations comply with all regulations, and David S. Sieradzki, Partner at Bracewell & Giuliani, will draw upon his legal representations of hedge fund clients. Suzan Rose, Chief Compliance Officer at Marshall Wace, will moderate. Join us and become better acquainted with these vital trading regulations.

Participants

Paula Drake, U.S. Securities and Exchange Commission
Michael E. Garrity, U.S. Securities and Exchange Commission
David S. Sieradzki, Bracewell & Giuliani LLP
Christopher J. Messiana, Marshall Wace North America L.P.
Suzan Rose, *Moderator*, Marshall Wace North America L.P.

Event Details

Date: November 6, 2013

Time: 5:30 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.

Host: Bracewell & Giuliani LLP

Location: Delamar Greenwich Harbor
500 Steamboat Road, **Greenwich**, CT - [Directions](#)

RSVP: [RSVP Now](#)

If you have any questions about this event, please contact the [Connecticut](#) 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 Best Buddies, the 2013 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

Paula Drake, Chief Counsel, Office of Compliance Inspections and Examinations, U.S. Securities and Exchange Commission

Paula Drake joined the Securities and Exchange Commission as the Associate Director, Chief Counsel and Chief Ethics Officer of the Office of Compliance, Inspections and Examinations in August 2012. From 1996 to 2012, Ms. Drake was General Counsel and Chief Operating Officer (from 2008) of Oeschle International Advisors, LLC, an international investment adviser with operations in Boston, London, Hong Kong and Frankfurt. Previously, Ms. Drake was Legal Counsel at Fidelity Investments and an Associate at the Boston law firm, Ropes & Gray. From 2004 to 2012, Ms. Drake served as a Board Member of the Investment Advisers Association. Ms. Drake has a J.D., cum laude, from Harvard Law School and a PhD, in English, with Distinction, from the University of Massachusetts.

Michael E. Garrity, Associate Regional Director of Examinations, SEC Boston Regional Office, U.S. Securities and Exchange Commission

Michael Garrity is the associate director of the Examination program in the Boston Regional Office of the U.S. Securities and Exchange Commission, where he participates in and oversees the examination of broker-dealers, investment advisers, mutual funds, hedge fund advisers and transfer agents. Mr. Garrity was a litigation associate in the Boston office of Bingham Dana & Gould (now Bingham McCutchen LLP) from 1988 to 1994, and an enforcement attorney for the Massachusetts Securities Division of the Office of the Secretary of the Commonwealth from 1994 to 1996. He worked as a reporter for trade publications covering the mutual fund and the money management business from 1996 to 2001, when he joined the SEC as an examiner. Mr. Garrity was named branch chief in 2004, assistant director in 2006 and associate director in 2011. He was a reporter for daily newspapers in Connecticut and New Jersey prior to attending law school. Mr. Garrity is a graduate of Marquette University, cum laude, and Boston College Law School.

David S. Sieradzki, Partner, Bracewell & Giuliani LLP

David Sieradzki is a partner in Bracewell & Giuliani LLP's broker-dealer and market regulation practice. His practice focuses on representing broker-dealers, investment advisers and hedge funds in connection with matters arising under federal and state securities laws and self-regulatory organization rules.

Mr. Sieradzki advises securities firms and their employees on complex sales and trading issues affecting the securities markets. His practice encompasses a wide-range of regulatory issues affecting financial services firms and institutional investors including: equity and fixed-income trading practices; order handling and execution issues; market making; broker-dealer registration; outsourcing; audit trail and trade reporting requirements; and creation and distribution of research reports and other communications with the public. Mr. Sieradzki also advises clients in connection with mergers and acquisitions involving broker-dealers. In addition to regulatory counseling, Mr. Sieradzki represents clients in enforcement proceedings and conducting internal investigations. He has played an important role in matters involving, among other things, specialist trading, market making, agency trading, research, broker-dealer registration and the self-regulatory function of securities exchanges. Prior to entering private practice, Mr. Sieradzki was a Special Counsel at the U.S. Securities and Exchange Commission's Division of Trading and Markets and counsel to Commissioner Isaac C. Hunt, Jr. Mr. Sieradzki received his B.B.A. at Hofstra University and his J.D., cum laude, at New York Law School.

Christopher J. Messina, Head of Operations, Marshall Wace North America L.P.

Christopher Messina is the Head of Operations for Marshall Wace North America L.P., joining the firm in May 2005. Mr. Messina is responsible for the day-to-day operations of the US office, as well as ensuring the timely and accurate filing of regulatory reporting, dictated by US policies, for the firm.

Mr. Messina has particular focus on internal controls, ensuring that the firm meets or exceeds the regulatory guidelines for each region in which the firm operates. Mr. Messina has held a variety of management roles in the equity and fixed income areas of prominent financial firms on both the Buy and Sell Side, such as Bridgewater, Deutsche Bank, and Citigroup. Mr. Messina has a B.B.A. in Finance from Zicklin School of Business at Baruch College, and is currently working toward his CFA designation.

Suzan Rose, Chief Compliance Officer, Marshall Wace North America L.P.

Suzan Rose is the Chief Compliance Officer for Marshall Wace North America L.P., joining the firm in 2004. Ms. Rose is responsible for ensuring that the firm's activities and those of its counterparties satisfy all regulatory and policy requirements in the US and abroad. Previously, Ms. Rose was with Lehman Brothers, where she was the Senior Supervisory Analyst for the US Equity Research division.

With more than 20 years in the investment industry, Ms. Rose has held a variety of senior compliance and management roles in the equity and fixed income areas of several prominent financial firms, such as Goldman Sachs, Credit Suisse, and Citigroup. Ms. Rose has a B.A. in Communications from Hofstra University, is an active member of a number of industry groups, and lectures in the industry on regulatory topics.

BRACEWELL & GIULIANI

About Bracewell & Giuliani LLP

Bracewell & Giuliani LLP is among the nation's most prominent law firms, serving the diverse needs of financial services clients on all aspects of financial markets regulation. We work closely with clients to ensure compliance with the requirements of the SEC, FINRA and other securities industry regulatory organizations. We help investment advisers, private investment funds and broker-dealers design compliance programs, respond to regulatory examinations and inquiries and provide effective representation in a range of enforcement proceedings. We represent major private investment funds, broker-dealers, alternative trading systems, securities industry technology companies and vendors on a range of securities market regulation matters.

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

100 Women in Hedge Funds is a global, practitioner-driven non-profit organization serving over 12,000 alternative investment management investors and professionals through educational, professional leverage and philanthropic initiatives. Formed in 2001, 100 Women in Hedge Funds has hosted over 400 education events globally, connected more than 250 senior women through Peer Advisory Groups and raised over \$30 million for philanthropic causes in the areas of women's health, education and mentoring.