



**100 women in  
hedge funds®**

**Education Session No. 440:  
Webinar: SEC Exam Priorities for 2014: What's Next?**

December 10, 2013 at 2 PM EST  
Washington, DC

The anticipated SEC Examination Priorities for 2014 will have a strong focus on compliance responsibilities of hedge fund/private fund managers.

Stay ahead of the game and learn more details in this timely webinar, featuring one of the SEC's top officials, as well as senior industry compliance professionals. Topics covered will include:

- Revised rules on general solicitation, including "Bad Actor" prohibition
- Review of firm custody obligations
- Prevention practices and monitoring for insider trading
- Update on SEC Presence Exams

There will be a Q&A segment to explore these issues and help your firm prepare for and understand the significance of the SEC's upcoming Examination Priorities. This is a must-attend webinar for marketing, operations and compliance professionals.

**Participants**

**Drew Bowden**, US Securities Exchange Commission

**Mary Nir**, Gracie Asset Management

**Amy Lynch**, *Moderator*, FrontLine Compliance, LLC

**Event Details**

**Date:** December 10, 2013

**Time:** 2 PM EST

**Host:** FrontLine Compliance

**Location:** Webinar

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

**Once you register for this event, we will send a separate email with instructions to link in to the webinar.**

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

**Drew Bowden**, Director, OCIE, US Securities Exchange Commission

Andrew J. Bowden is the Director of the U.S. Securities and Exchange Commission, Office of Compliance Inspections and Examinations.

Drew Bowden was appointed by Chair Mary Jo White as the Director of the Office of Compliance Inspections and Examinations (OCIE) in June 2013. He joined the SEC in November 2011 and initially served as the National Associate for the Investment Adviser and Investment Company Examination Program. In September 2012, Mr. Bowden was named Deputy Director of OCIE.

Mr. Bowden began his career as a trial attorney and partner at a major Baltimore law firm, specializing in securities related litigation, arbitration, and regulatory matters. He later worked for seventeen years at Legg Mason in a variety of roles, including legal, compliance, operations, sales, service, marketing, and corporate governance. He has also served on the Board of Governors and Executive Committee of the Investment Adviser Association.

He holds a Bachelor of Arts degree, summa cum laude, from Loyola University Maryland and a law degree, cum laude, from The University of Pennsylvania.

**Mary Nir**, Chief Compliance Officer, Gracie Asset Management

Mary Nir is the General Counsel and Chief Compliance Officer of Gracie Asset Management. Gracie is a multi-strategy credit manager of hedge funds and separate accounts.

Ms. Nir is responsible for the ongoing development and implementation of Gracie's internal compliance program and for providing counsel on business expansion and development.

She also works in an advisory capacity on legal and compliance matters relating to asset management for Moelis & Company, a global investment bank providing financial advisory, capital raising and asset management services, which wholly owns Gracie. Prior to this, Ms. Nir was an associate at Cooley Godward and Kronish.

Ms. Nir is an Investment Adviser Certified Compliance Professional® (IACCP®) through National Regulatory Services and a member of the National Society of Compliance Professionals.

Ms. Nir received a JD cum laude from Georgetown University Law Center and graduated cum laude from Harvard University with a BA in English and American Literature.

**Amy Lynch**, President, FrontLine Compliance, LLC  
Amy Lynch, CRCP, is the founder and President of FrontLine Compliance, LLC.

Ms. Lynch has over 25 years experience in the financial industry. She began her compliance career with the SEC's Office of Compliance Inspections & Examinations, working in both the New York and Washington, DC offices. At the SEC, she was responsible for conducting examinations of mutual funds, investment advisers, and insurance firms nationwide. From there she moved into the private sector where she served as DOC and CCO for firms such as Mercantile Capital Advisors, Inc. (a bank affiliated investment adviser) and E\*Trade Financial, and was Vice President at RegEd.com, where she developed a leading branch audit software program. Ms. Lynch later returned to the regulatory side with the FINRA (formerly NASD) in Washington, DC. There she specialized in heightened regulatory issues confronting the securities industry and was responsible for managing several industry wide "sweeps" conducted by FINRA's Enforcement Department.

During her distinguished career, Ms. Lynch has been recognized as an expert on a number of high profile regulatory issues involving investment adviser and broker-dealer compliance, variable insurance products, mutual funds, and hedge funds. Ms. Lynch was one of the first graduates of the FINRA Institute/Wharton School Certification Program and holds the Certified Regulatory Compliance Professional (CRCP) designation in addition to her B.S. in Business and Economics.

Ms. Lynch has been a frequent speaker at industry conferences sponsored by such organizations as the Securities Industry and Financial Markets Association (SIFMA), Investment Company Institute (ICI), Managed Funds Association (MFA), ALI-ABA and Insured Retirement Institute (IRI). She has also presented at conferences and webinars for media and event groups including Institutional Investor, BD Week, Financial Advisor, IA Watch and Financial Research Associates. She has spoken on a variety of regulatory topics such as investment adviser compliance, regulatory challenges for broker-dealers, variable product compliance, soft dollars, mutual fund compliance, valuation, advertising, electronic communications and auditing.

**FrontLineCompliance®**

*Regulatory experts. Business leaders.*

#### **About FrontLine Compliance**

FrontLine Compliance, LLC is a regulatory compliance consulting firm of former high-level regulatory insiders offering customized services to investment advisers, broker-dealers, hedge funds, private equity firms, investment companies and insurance company affiliates. Our clients are primarily middle market institutional buy-side and sell-side firms in equities, fixed-income and alternatives. Staffed by former SEC and FINRA regulators, and chief compliance officers, FrontLine Compliance provides the kind of industry knowledge, experience and expertise on regulatory issues only available from well-seasoned insiders. For more information, please call 888-518-8070 or visit [www.frontlinecompliance.com](http://www.frontlinecompliance.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 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 \$33 million for philanthropic causes in the areas of women's health, education and mentoring.