



**100 women in
hedge funds®**

**Education Session No. 458:
'40 Act Funds--The Convergence and Competition Between Mutual Funds and Hedge Funds**

March 19, 2014 at 6 PM
Stamford, CT

Gain key insight to help you navigate uncharted territory as mutual funds and hedge funds now operate in the same space.

The conversation will examine:

- The origin of new alternative formats, implications for asset growth, and opportunities for private fund managers
- The motivation for establishing a'40 Act fund, the barriers to entry, and challenges such as daily liquidity
- Marketing and compliance issues related to managing different fund formats within the same strategy

Leave with key takeaways regarding the prospect for future growth in the alternative space to help you plot your course.

Participants

Adam Gale, Mintz, Levin
Virginia Klein, Merrill Lynch Wealth Management
David Kupperman, Neuberger Berman
William Marr, Ramius Trading Strategies
Elaine Bourke, *Moderator*, Credit Suisse Alternatives

Event Details

Date: March 19, 2014

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.

Hosts: Credit Suisse and UConn School of Business

Location: UConn Stamford School of Business

One University Place, **Stamford**, CT 06901

(Please see below for 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 the 2014 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

Adam Gale, Partner, Mintz, Levin

Adam Gale is a partner in Mintz Levin's New York office and the Co-Chair of the firm's Investment Funds Group. He is an expert on hedge fund and registered investment company formation and investment management regulatory and compliance issues. Adam also advises fund managers on forming registered funds for alternative investment products. He represents both established fund managers and start-up entities, and also represents several institutional investors and family offices in their investments in funds. In addition, Adam also has expertise on broker-dealer regulations, private equity fund formation and bank regulatory issues. He is a frequent speaker and writer on fund formation and regulatory issues.

Virginia Klein, Director of Head of Hedge Fund Origination and Product Management, Merrill Lynch Wealth Management

Virginia Klein is a Director of Head of Hedge Fund Origination and Product Management with Merrill Lynch Wealth Management, and heads the team responsible for multiple hedge fund strategies, customized solutions, and AI UCITS. This team is responsible for sourcing, structuring, negotiating, and managing hedge fund solutions that are made available to the private clients of the firm globally. Virginia is also Head of Innovative Solutions for the Alternative Investment business.

After working at Montgomery Securities, Virginia joined Merrill Lynch in 1999 and spent the next four years as an Investment Analyst with a team in the Virginia Beach office. After business school she returned to Merrill Lynch in the Alternative Investments group, first in the Private Equity Origination group, then moving to the Hedge Fund group. Virginia earned a B.A. in political science from Clemson University and a M.B.A. from Georgetown University, where she is active in recruiting and mentorship activities.

David Kupperman, Managing Director, Neuberger Berman

David Kupperman, PhD, Managing Director, joined the firm in 2011. David is a member of the Investment Committee and also serves as the Head of Liquid Strategies on the NB Alternative Investment Management Team.

Prior to joining, David was a partner and member of the investment committee at Alternative Investment Management, LLC. Prior, David worked as a Managing Director and member of the Executive Committee of Paloma Partners Management Company, a multi-strategy hedge fund focused on relative value trading strategies. Prior to Paloma, David worked at The Carlyle Group, one of the world's largest alternative investment managers. At Carlyle, he most recently served as the Principal of Product and Business Development, reporting directly to the firm's co-founder. He worked on initiatives that included building a distressed debt fund, a multi-strategy hedge fund, a hedge fund-of-funds, amongst many other new fund ideas. Prior to Carlyle, David was a Vice President in both the Private Equity and Portfolio Strategy Groups at Goldman, Sachs & Co. In his role in portfolio strategy, he authored papers on asset allocation and helped develop Goldman's quantitative asset allocation framework for high net worth investors. Additionally, he worked with individual ultra-high net worth clients in establishing their asset allocations and investment strategies. While in the private equity group, he worked on secondary private equity, fund-of-funds, fund performance analysis, and the structuring of alternative investment programs for Goldman clients.

He currently serves as a member of the Executive Committee of the Investment Management Division of the UJA Federation of New York and was a trustee of the Solomon Schechter Day School of Bergen County. David holds a M.A. and a Ph.D. in Physics from The Johns Hopkins University and a B.A. and a M.E. from Cornell University.

William Marr, President and CEO, Ramius Trading Strategies

William Marr is the President and Chief Executive Officer of Ramius Trading Strategies ("RTS"). Mr. Marr has managed proprietary capital for financial institutions throughout his career and has invested with external trading managers since 1997.

As a co-founder of RTS, Mr. Marr was an early entrant into the world of liquid alternative investments, launching the Ramius Trading Strategies Managed Futures Fund in 2011. He is a frequent speaker on topics including alternative 40 Act Funds, trading strategies, mutual fund distribution, and managed account investing. Prior to RTS, Mr. Marr was a Managing Director and Head of Hedge Fund Research and Portfolio Construction at Merrill Lynch where he oversaw more than \$25 billion in hedge fund investments. From 1998-2006 he worked for the Swiss private bank, Julius Baer, first as Senior Vice President and Head of FX Trading and Sales, and eventually as Managing Director and Global Head of Alternative Investments. Earlier in his career Mr. Marr actively traded and managed FX cash, futures, forwards and derivatives for international trading firms including Bankers Trust and UBS. He received a Bachelor of Arts from Bowdoin College.

Elaine Bourke, Product Specialist, Credit Suisse Alternatives

Elaine Bourke, Vice President, is a product specialist for Credit Suisse's Liquid Alternative Solutions group based in New York. Ms. Bourke has over 8 years of investment management industry experience, specializing in a range of alternative investment strategies including hedge funds, funds of hedge funds and liquid alternative trading strategies. Ms. Bourke joined Credit Suisse in 2008 from Morgan Stanley where she supported the distribution of alternative investment products within institutional business channels. Ms. Bourke began her career as an account executive for The A Team, a boutique marketing agency where she generated award-winning campaigns for several Fortune 500 companies. Ms. Bourke received a B.S. in Business Management and Marketing from Canisius College. Ms. Bourke holds Series 7, 63 and 3 licenses.

Directions

Parking is located at:

1198 Washington Blvd, Stamford, CT 06902 [Click here for more directions](#)

**About Credit Suisse**

The Credit Suisse Liquid Alternatives platform includes Credit Suisse's Alternative Fund Solutions group, one of the largest hedge fund investors globally, Liquid Alternative Beta (LAB), Credit Suisse's leading hedge fund replication platform, and Credit Suisse Alternative Liquid Trading Strategies (ALTS)™, a specialized team focused on alternative risk premia strategies and solutions.

Credit Suisse AG is one of the world's leading financial services providers and is part of the Credit Suisse group of companies. As an integrated bank, Credit Suisse is able to offer clients its expertise in the areas of private banking, investment banking and asset management from a single source. Credit Suisse provides specialist advisory services, comprehensive solutions and innovative products to companies, institutional clients and high net worth private clients worldwide, and also to retail clients in Switzerland. Credit Suisse is headquartered in Zurich and operates in over 50 countries worldwide. The group employs approximately 46,400 people. The registered shares (CSGN) of Credit Suisse's parent company, Credit Suisse Group AG, are listed in Switzerland and, in the form of American Depositary Shares (CS), in New York. Further information about Credit Suisse can be found at www.credit-suisse.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 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.