



**100 women in
hedge funds®**

**Education Session No. 463:
How the FBI Investigates Insider Trading**

April 2, 2014 at 6 PM
Boston, MA

Who are the 1% at your firm? According to David Chaves of the FBI, 1% to 2% of employees at firms, whether the firm is a hedge fund or the FBI itself, could be expected to behave improperly. To be sure, there are inadvertent slip-ups, but for those who knowingly and willingly cross the line, the FBI's message is: beware.

Get an insider's view of the US Government's efforts to crack down on insider trading and ensure all participants in our industry fulfill their fiduciary duties. David Chaves, FBI Supervisory Special Agent, will join us for an inside look at how his team uses undercover work, reviews phone records, wiretaps calls and employs other aggressive tactics to ferret out the wrong-doers in our industry. Learn about the relationship between the SEC and the FBI and how informants have led to successful investigations against principals at the Galleon Group, SAC Capital Advisors and many others. A Q&A with hypothetical scenarios will follow the discussion.

Participants

David Chaves, FBI
Scott Mackey, CPA, *Moderator*, McGladrey

Event Details

Date: April 2, 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.

Networking and cocktails before and after session.

Host: McGladrey LLP

Location: 80 City Square, **Boston**, MA 02129 - [Directions](#)

RSVP: [RSVP Now](#)

If you have any questions about this event, please contact the [Boston](#) 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

David Chaves, Supervisory Special Agent, FBI

Supervisory Special Agent David A. Chaves is a senior FBI Agent assigned to the New York division. He serves as the securities fraud program manager for the most visible securities cases prosecuted over the last decade. He is widely recognized as the chief strategist in coordinating these complex white collar investigations and for infiltrating corrupt participants in the hedge fund industry through the use of sophisticated techniques, undercover operations, and wire taps.

David is a securities fraud subject matter expert and lectures to audiences in both the public and private sector on securities fraud cases including Madoff, Galleon, and Perfect Hedge investigations. Prior to joining the FBI he was a civil litigation attorney in Boston, MA.

Scott Mackey, CPA, McGladrey

Scott is a partner and leader of the Financial Services practice in New England. He is responsible for all aspects of delivery of assurance, taxation, risk advisory and IT consulting services to the New England asset management and financial services sector.

Scott brings more than 16 years of public accounting experience to McGladrey. He has extensive experience across the financial services and asset management industry, having served both the alternative investment space including hedge fund, private equity and fund of fund complexes, and registered investment vehicles including mutual funds and broker-dealers. In addition, Scott has significant insights on operational and regulatory issues facing asset managers through the performance of internal control reports, such as Soc1 and Chief Compliance Officer reports, as well as advisory and risk management projects.



About McGladrey LLP

McGladrey LLP is the leading U.S. provider of assurance, tax and consulting services focused on the middle market, with more than 6,500 people in 75 offices nationwide. With more than 50 years of experience serving the financial services community in key financial hubs, we help organizations navigate complex reporting, governance and regulatory issues to achieve their business objectives. We serve alternative investment companies, investment advisors, investment partnerships/hedge funds, private equity funds, broker-dealers and futures commission merchants. McGladrey is a licensed CPA firm and serves clients around the world through RSM International, a global network of independent assurance, tax and consulting firms. McGladrey uses its deep understanding of the needs and aspirations of clients to help them succeed.

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.