



**Education Session No. 473:
A Legislative and Regulatory Perspective**

May 15, 2014 at 6 PM
Boston, MA

As proposals for new financial regulation makes the rounds, there will be greater scrutiny. How will this affect our industry? For example, with increasing pressure for regulatory change, institutions need to prepare for tougher SEC examinations. Join us for an interactive conversation with two leaders on regulatory affairs and a discussion of the relationship between Congress and the SEC, their respective goals, conflicts and potential resolutions. Cocktails and hors d'oeuvres will be served following the panel.

Participants

Congressman Michael E. Capuano
Paul Levenson, US Securities and Exchange Commission
Rosemary Fanelli, *Moderator*, CounselWorks LLC
Kathleen Malone, *Moderator*, CounselWorks LLC

Event Details

Date: May 15, 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 will follow.

Host: CounselWorks

Location: The W Hotel

100 Stuart Street, **Boston**, MA 02116 - [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 Cerebral Palsy International Research Foundation, 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

Congressman Michael E. Capuano, House Financial Services Committee

Congressman Capuano is serving his eighth term as a Representative in Congress for Massachusetts' Seventh District, which includes most of Boston, Chelsea, Everett, Randolph, Somerville, and portions of Cambridge and Milton. He is the senior Massachusetts member on the Transportation and Infrastructure Committee and the Financial Services Committee. He was also named to the House Ethics Committee in 2013. Prior to serving in Congress, Mike was the Mayor of Somerville, MA from January of 1990 through January of 1999. He received a Bachelor of Arts degree from Dartmouth College in 1973, and a law degree from Boston College Law School in 1977.

Paul Levenson, Director of Boston Regional Office, US Securities and Exchange Commission

Mr. Levenson joined the SEC in late October 2013, when he was named director of the Boston Regional Office, overseeing enforcement and examinations in the New England region. Prior to the SEC, Mr. Levenson was an Assistant U.S. Attorney and Chief of the Economic Crimes Unit at the U.S. Attorney's Office for the District of Massachusetts, where he was responsible for investigations and prosecutions of financial crimes. Mr. Levenson successfully coordinated many criminal investigations with the SEC's Division of Enforcement during his tenure in the U.S. Attorney's Office. Mr. Levenson earned his bachelor's degree from Harvard College and his law degree from Harvard Law School.

Rosemary Fanelli, Founding Partner and CEO, CounselWorks LLC

Ms. Fanelli is a Founding Partner and the Chief Executive Officer of CounselWorks. The Hedge Fund Journal named her one of its "50 Leading Women in Hedge Funds". Prior to founding CounselWorks, Ms. Fanelli was the General Counsel, Chief Administrative Officer and Chief Compliance Officer of Allen & Company LLC, a company providing investment advisory and investment banking services, overseeing all of the firm's legal and regulatory matters, including those relating to fund formation, adviser registration, private placements, PIPEs, Rule 144 sales and Sections 13 and 16 filings. She has personally handled countless SEC and NASD inquiries, including over 10 formal examinations.

Kathleen Malone, Managing Director, Northeast Division, CounselWorks LLC

Ms. Malone is a Managing Director and oversees the North East division at CounselWorks. Prior to joining CounselWorks, Ms. Malone worked at the Securities and Exchange Commission in the Office of Compliance Inspections and Examinations, where she participated in numerous registered investment company, registered investment adviser and broker-dealer examinations. Ms. Malone earned her B.S. in Finance from Villanova University and her Juris Doctorate from Seton Hall University School of Law.

**About CounselWorks**

CounselWorks LLC is a business strategy and regulatory consulting firm that provides project-based consulting and manages compliance and regulatory programs for asset managers. As the Counsel that Works, our team of analysts and attorneys help firms research, plan and strategize to successfully grow their business from inception to institution. We work directly with hedge funds, private equity firms, broker-dealers, commodity pool operators, commodity trading advisors and investment banks.

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 450 industry 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 and family health, education and mentoring.