



**Education Session No. 487:
Developments in the SEC and NFA Examination Process**

June 25, 2014 at 5 PM
Washington, DC

As a result of Dodd-Frank and regulatory amendments from the CFTC, many sponsors of or advisers to private investment funds or hedge funds have found themselves registered with both the SEC and CFTC. Come hear from Marc Wyatt, Co-Chair of the Private Funds Unit of the SEC's Office of Compliance Inspections and Examinations (OCIE), and Jennifer Sunu, Director of Compliance at the National Futures Association (NFA), speak about the latest developments in their examination programs for investment advisers, commodity pool operators and commodity trading advisors.

Participants

Jennifer Sunu, NFA
Marc Wyatt, SEC
Cary J. Meer, *Moderator*, K&L Gates

Event Details

Date: June 25, 2014
Registration: 4:30-5:00 p.m.
Panel Discussion: 5:00-6:15 p.m.
Cocktail Reception: 6:15-7:15 p.m.
Networking and cocktails will follow.
Host: K&L Gates
Location: 1601 K Street, NW, **Washington**, DC 20006
RSVP: [RSVP Now](#)

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 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

Jennifer Sunu, Director of Compliance, NFA

Jennifer Sunu is Director of Compliance at NFA, where she has worked since July 1994. Ms. Sunu's responsibilities include supervising the Compliance Department in its completion of its core functions, including examinations, investigations, and financial surveillance; overseeing the development of enforcement cases; responding to Member inquiries; and informing Members of NFA's initiatives through Member meetings and industry conferences. Ms. Sunu has a B.S. degree in accounting from University of Illinois at Chicago. She is also a Certified Regulatory Compliance Professional, having receiving this designation through the FINRA Institute at The Wharton School of Business, and is a Certified Fraud Examiner.

Marc Wyatt, Senior Specialized Examiner, SEC

Marc Wyatt, CFA joined the SEC in 2012 as Senior Specialized Examiner and is the Co-Chair of the Private Funds Unit in OCIE. He provides subject matter expertise in policy and rulemaking decisions and acts as internal consultant for examination and enforcement actions. Prior to joining the SEC, Mr. Wyatt was a Partner and Senior Portfolio Manager at Stark Investments (a global multi-strat hedge fund) where he served as the co-head of the London office and was responsible for all aspects of the London office's activities, including asset allocation, risk management, marketing, operations, and compliance. Prior to working in the hedge fund industry, Mr. Wyatt was a senior investment banker at Merrill Lynch and Alex. Brown. Mr. Wyatt began his career as an analyst in the restructuring group at Lehman. He earned a B.S. in Economics from University of Delaware and a MBA from Duke University.

Cary J. Meer, Partner, K&L Gates

Ms. Meer is a partner in K&L Gates' Washington, D.C. office and a member of the Investment Management practice group. She focuses her practice on private investment companies, including hedge and private equity funds, Commodity Exchange Act and Investment Advisers Act compliance matters, negotiated mergers and acquisitions of investment advisers and broker-dealers, derivatives and related areas. She holds a J.D. from Harvard Law School and a B.S., summa cum laude, from the University of Pennsylvania's Wharton School.

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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.