

WEDNESDAY, APRIL 22, 2009 ALL DAY WORKSHOP SESSION

NOON – 1:00 p.m.

Grand Ballroom 3 & 6

PRE-REGISTRATION (Refreshments Served)

1:00 – 2:15 p.m.

Grand Ballroom 7

RISK MANAGEMENT WORKSHOP

- What is Risk Management?
- Integrating Risk Management in a Compliance Program
- Best Practices for Compliance Programs to Identify, Mitigate and Monitor Risk
- Responding to New Types of Risk
- Dealing with New and Complex Product Risks
- Creating a Risk Tracking Matrix
- Vendor and Operational Risks

Barry Schwartz, Partner, ACA Compliance Group

Alan Halfenger, CCO, Bain Capital LLC

Peter Koffler, Managing Director, The Blackstone Group

2:15 – 2:30 p.m.

Grand Ballroom 3 & 6

BREAK (Snacks and Refreshments Served)

2:30 – 3:45 p.m.

Grand Ballroom 7

RISK MANAGEMENT WORKSHOP (Continued)

3:45 – 4:00 p.m.

Grand Ballroom 3 & 6

BREAK (Refreshments Served)

4:00 – 5:00 p.m.

Cézanne 1

RISK MANAGEMENT PEER GROUP FOR HEDGE FUND ADVISERS

4:00 – 5:00 p.m.

Cézanne 2

**RISK MANAGEMENT PEER GROUP FOR TRADITIONAL
INVESTMENT ADVISERS**

All sessions on April 22nd will be closed to the media and regulators

AGENDA

THURSDAY, APRIL 23, 2009

7:00 – 8:15 a.m.

BREAKFAST & REGISTRATION

Grand Ballroom 3 & 6

8:15 – 8:30 a.m.

WELCOMING REMARKS

Grand Ballroom 2

Robert Stype, Managing Partner, ACA Compliance Group

8:30 – 9:15 a.m.

KEYNOTE SPEAKER

Grand Ballroom 2

Susan Wyderko, Executive Director, Mutual Fund Directors Forum

9:15 – 10:30 a.m.

SEC & OTHER REGULATORY UPDATES

Grand Ballroom 2

- The SEC's New Regulatory Priorities
- The Post-Madoff Fate of the Advisers Act Custody Rule
- Short Selling: Form SH
- SEC Valuation Guidance
- Books and Records Reform

James Anderson, Partner, WilmerHale

Dan Gregus, Assistant Regional Director, U.S. Securities and Exchange Commission

Cathie Saadeh, Editor, *ACA Insight*

10:30 – 10:45 a.m.

BREAK (Snacks and Refreshments Served)

Grand Ballroom 3 & 6

10:45 a.m. – NOON

ATTEND YOUR CHOSEN TRACK

Track 1

Grand Ballroom 2

NEW FORM ADV PART 2

- Delivery Requirements
- Summary of Material Changes
- Brochure Supplements
- "Plain English" Disclosures
- Filing Requirements

Laurin Blumenthal Kleiman, Partner, Sidley Austin LLP

Justin Kam, Director, National Compliance Services, Inc

Paula Bosco, Director of Compliance, New Mountain Capital, Inc

Track 2

Grand Ballroom 7

VALUATION

- FAS 157
- Fair Valuation Methodologies
- Hard-to-Value Securities
- Pricing Services
- Documentation

Theodore Eichenlaub, Partner, ACA Compliance Group

Gregg Rubin, CCO, Oak Hill Advisors

Christopher Zingo, VP of the Americas, SuperDerivatives

THURSDAY, APRIL 23, 2009

NOON – 1:00 p.m.

Grand Patio

LUNCH

1:00 – 2:15 p.m.

ATTEND YOUR CHOSEN TRACK

Track 1

Grand Ballroom 2

IDENTITY THEFT & OTHER PRIVACY ISSUES

- Recent Regulatory Enforcement Actions
- Newly Adopted and Proposed Privacy Regulations
- SEC Examinations of Privacy Controls
- Suggested Compliance Initiatives for Chief Compliance Officers
- Monitoring
- Procedures for Breaches
- Training

Barry Schwartz, Partner, ACA Compliance Group

Cindy Wong, Assistant Director, U.S. Securities and Exchange Commission

Spencer Barasch, Partner, Andrews Kurth LLP

Track 2

Grand Ballroom 7

WHAT EVERY CCO SHOULD KNOW ABOUT GIPS COMPLIANCE

- SEC vs. GIPS Compliance
- Disclosure Requirements
- Treatment of Wrap Programs, Private Equity, Real Estate
- Common Deficiencies Found by Regulators
- Tips to Ensure your Firm Remains Compliant

Justin Guthrie, Director, Beacon Verification Services

Michael Cacesse, Partner, K&L Gates, LLP

2:15 – 2:30 p.m.

Grand Ballroom 3 & 6

BREAK (Refreshments Served)

2:30 – 3:45 p.m.

Grand Ballroom 2

HOW TO PREPARE AND MANAGE AN SEC EXAMINATION

- Standardized SEC Request List
- Types of SEC Examinations
- Gathering Books and Records
- Surviving an SEC Interview
- Deficiency Letters vs. Enforcement

Brian Rubin, Partner, Sutherland Asbill & Brennan LLP

Randall Lee, Partner, WilmerHale

Doug Anderson, Co-Chief Compliance Officer, Canyon Capital Advisors, LLC

AGENDA

THURSDAY, APRIL 23, 2009

3:45 – 4:00 p.m. **BREAK** (Desserts and Refreshments Served)

Grand Ballroom 3 & 6

4:00 – 5:00 p.m. **SMALL-TO-MID ADVISERS PEER GROUP ROUNDTABLE**

Gauguin 1

4:00 – 5:00 p.m. **MID-TO-LARGE ADVISERS PEER GROUP ROUNDTABLE**

Gauguin 2

4:00 – 5:00 p.m. **WAYS TO AUTOMATE THE REVIEW OF EMPLOYEE TRADING
PEER GROUP ROUNDTABLE**

Cézanne 2

Theodore Eichenlaub, Partner, ACA Compliance Group

Tim Taft, IT Manager, ACA Compliance Group

5:00 – 7:00 p.m. **COCKTAIL RECEPTION**

Monet 4 & Patio

Peer Group Roundtables on Thursday, April 23rd will be closed to the media and regulators

FRIDAY, APRIL 24, 2009

7:00 – 8:00 a.m. **BREAKFAST**

Grand Ballroom 3 & 6

8:00 – 9:15 a.m. **ATTEND YOUR CHOSEN TRACK**

Track 1

Grand Ballroom 2

TRADING & TRADE ERRORS

- Prohibited Transactions
- Allocation Issues
- Trade Aggregation
- Defining a “Trade Error”
- Correcting Trade Errors
- Trade Error Accounts
- Disclosures

Marianne O’Doherty, CCO, Smith Breeden Associates, Inc

Christopher Crossan, Chief CCO, Dimensional Fund Advisors

Michele Gibbons, Partner, Mayer Brown LLP

Track 2

Grand Ballroom 7

MARKETING BY HEDGE FUND MANAGERS

- General Solicitation
- Broker-Dealer Registration Issues
- Solicitors and the SEC’s Interpretive Position
- Proving a “Pre-Existing and Substantive” Relationship

John Broadhurst, Partner, Shartsis Friese LLP

Jose Sanchez, Partner, Sidley Austin, LLP

Linda Yoder, Staff Accountant, U.S. Securities and Exchange Commission

FRIDAY, APRIL 24, 2009

9:15 – 9:30 a.m. **BREAK (Snacks and Refreshments Served)**

Grand Ballroom 3 & 6

9:30 – 10:45 a.m. **ATTEND YOUR CHOSEN TRACK**

Track 1

Grand Ballroom 2

MARKETING BY INVESTMENT ADVISERS

- Relevant Disclosures
- New and Other Key No-Action Letters
- Performance Advertising
- False and Misleading Statements
- Books and Records

Gary Watkins, Partner, ACA Compliance Group

Paul Miller, Partner, Seward & Kissel LLP

Jeannette Lewis, Assistant General Counsel, Driehaus

Track 2

Grand Ballroom 7

BEST EXECUTION & SOFT DOLLARS

- Developing a Best Execution Process
- Best Execution Factors to Consider
- Summarizing the “Periodic and Systematic” Review
- Soft Dollar Analysis
- Other Soft Dollar Considerations
- Conflicts of Interest

Robert Stype, Managing Partner, ACA Compliance Group

Mark Borrelli, Partner, Sidley Austin LLP

Tom Shugrue, President, Carolina Capital Markets

10:45 – 11:00 a.m. **BREAK**

Grand Ballroom 3 & 6

11:00 – 12:15 p.m. **FUTURE OF THE REGULATORY STRUCTURE IN THE U.S.**

Grand Ballroom 2

- Fate of the SEC
- Impact of Madoff on Regulation
- Adequacy or Inadequacy of SEC Examinations
- Expectations of Incoming SEC Chairman Mary Schapiro
- Increased Regulation for Registered Entities

David Matteson, Partner, Drinker Biddle & Reath, LLP

Barry Greenberg, Partner, Akin Gump LLP

Duane Thompson, Managing Director, Financial Planning Association

12:15 p.m. **END OF CONFERENCE**

SPEAKERS

DOUG ANDERSON

Mr. Doug Anderson is the Co-Chief Compliance Officer of Canyon Capital Advisors. He is responsible for monitoring compliance with federal and state securities laws. Prior to joining Canyon, he was a Senior Securities Compliance Examiner with the Pacific Regional Office of the U.S. Securities and Exchange Commission for over five years. Mr. Anderson was responsible for conducting compliance examinations (routine and cause) of various investment advisers and investment companies. He is a graduate of the University of California, Davis (B.A., Economics and Communications) and Vermont Law School (J.D., cum laude).

JAMES ANDERSON

Mr. James Anderson is a Partner at WilmerHale in the firm's Securities Department, and the co-chair of the Investment Management Practice Group. He joined the firm in 1994. Prior to joining the firm, Mr. Anderson served as a Staff Attorney in the Office of Investment Company Regulation, Division of Investment Management, of the United States Securities and Exchange Commission.

Mr. Anderson advises a wide range of clients including investment advisers, hedge funds, mutual funds, banks, and broker-dealers. His work covers the entire range of securities regulation. He has advised investment advisers and investment companies in connection with purchase and sale of investment advisers and funds. In addition, he has advised investment advisers and hedge funds about various compliance matters (e.g., the development and implementation of compliance policies and procedures, mock examinations and other comprehensive reviews of compliance systems and procedures, investment adviser registration requirements). He also has represented investment advisers and hedge funds in various examination and enforcement-related inquiries by self-regulatory organizations and the SEC.

Recent Highlights

- Represented money market funds in connection

with market turmoil and "break the buck" concerns, including obtaining SEC no action relief to support arrangements by sponsors

- Advised money market funds concerning participation in US Treasury's Temporary Money Market Fund guarantee program
- Retained by hedge fund adviser with approximately 1,200 employees and investor capital in excess of \$20 billion to register the adviser with the Securities and Exchange Commission, draft compliance policies and procedures to satisfy Advisers Act Rule 206(4)-7, and review compliance with existing policies and procedures
- Retained by investment adviser to a registered investment company to handle SEC enforcement investigation involving the retention of service providers affiliated with the investment adviser
- Retained by hedge fund adviser to coordinate multi-national internal review of alleged improper trading activities in connection with a corporate takeover
- Retained by broker-dealer/investment adviser with over 10,000 registered representatives to conduct a comprehensive review of the firm's compliance program, including policies, procedures, systems, and implementation

Honors and Awards

- Selected by his peers for inclusion in *The Best Lawyers in America 2008* and *2009* in the area of mutual funds law
- Recognized as a leader in financial services: asset management regulation in the 2007 edition of *Chambers USA: America's Leading Lawyers for Business*
- Recognized for exceptional standing in the legal community in the area of investment management in the 2005, 2006 and 2009 editions of *Chambers USA: America's Leading Lawyers for Business*

Publications

- Co-author, *Investment Advisers: Law & Compliance*, a leading treatise on investment adviser regulation
- Contributing author, *Mutual Fund Regulation*, a treatise on investment company regulation

SPENCER BARASCH

Mr. Spencer Barasch joined Andrews Kurth LLP in April 2005 as a Partner in its Dallas office, after serving 17 years in a variety of positions with the U.S. Securities and Exchange Commission. Mr. Barasch is the leader of Andrews Kurth's Corporate Compliance, Investigations and Defense team, with his practice focusing on the representation of public companies, broker-dealers, investment advisers, mutual funds, investment banks, private equity funds, accounting firms and attorneys in regulatory investigations and proceedings. He also devotes a substantial portion of his practice to conducting internal investigations on behalf of audit committees, special litigation committees, legal departments and the executive management of public and private companies and investment firms.

While at the SEC, Mr. Barasch directed high profile investigations and litigation in all areas of the securities industry, working closely with the Department of Justice, FINRA, stock exchanges and state securities departments and attorney general offices. During his final seven years with the SEC, he served as the director of the SEC's enforcement program in the Southwest, and previously was a director of SEC enforcement in the Southeast, working from the agency's Miami office.

Mr. Barasch received several awards at the SEC, including the Irving M. Pollack Award for distinguished service. He earned his A.B. from Duke University and J.D. from the University of Tulsa, where he was a member of the Tulsa Law Review.

Mr. Barasch also has served as an adjunct professor on securities regulation, has published several articles on a variety of securities regulation and enforcement topics, and is a frequent participant on the securities counsel speaking circuit.

MARK BORRELLI

Mr. Mark Borrelli is a Partner in the Chicago office of Sidley Austin LLP, where he represents clients, including broker-dealers, investment advisors, hedge funds and clearing agencies, on transactional,

compliance and enforcement matters relating to securities and commodities. Mr. Borrelli regularly advises investment advisors and broker-dealers on compliance issues, including soft dollar questions, and has analyzed soft dollar arrangements from the perspective of the investment advisor, broker-dealer and research provider. He also assists investment advisors with development and updates of compliance procedures.

Mr. Borrelli was formerly an Assistant Regional Director with the Enforcement Division of the U.S. Securities and Exchange Commission and is a former chair of the CBA Securities Law Committee. Mr. Borrelli formerly served as a clerk to the honorable George M. Marovich of the U.S. District Court for the Northern District of Illinois.

Mr. Borrelli received his J.D. degree, summa cum laude, from the University of Illinois College of Law in 1989, where he was a member of the Order of the Coif, a Harno Fellow, and on the Dean's List. He received a B.S. degree in 1986 with highest honors from the University of Illinois, where he was Bronze Tablet and a member of the Beta Gamma Sigma and Phi Kappa Phi honorary societies.

Mr. Borrelli is involved with several charitable organizations, including Chicago Youth Programs and the Benebikira Sisters Foundation, and has performed volunteer work in several countries, most recently Rwanda.

PAULA BOSCO

Ms. Paula Bosco is the Director of Compliance at New Mountain Capital, LLC, where she oversees the compliance function for several public and private equity funds totaling approximately \$9 Billion in AUM.

Prior to joining NMC in January 2009, she served as Senior Vice President and advisory Chief Compliance Officer at Lehman Brothers Inc, where her responsibilities included implementing and overseeing the compliance program for all investment advisory activities within the firm's Private Investment Management division.

SPEAKERS

Prior to Lehman, Ms. Bosco held a number of legal and compliance positions with several prominent Wall Street firms. Her prior roles include Senior Vice President and Assistant Director of International & Investment Advisory Compliance at Citi Smith Barney, Senior Vice President and Senior Regulatory Counsel in the Smith Barney's Regulatory Unit, Litigation Associate at Schulte, Roth & Zabel LLP, Assistant Chief Counsel of the Enforcement Division at the American Stock Exchange (a division of FINRA, formerly NASD) and Divisional Vice President and Counsel in the Litigation Department at UBS PaineWebber.

Prominent in industry activities, Ms. Bosco is an active member of the SIFMA Investment Advisers Committee, the National Society of Compliance Professionals (NSCP), 100 Women in Hedge Funds, and is a volunteer in the Baruch Mentoring Program sponsored by the Financial Women's Association (FWA). From 2005-2008, she served as Co-Chair of the Securities & Exchanges Committee at the New York County Lawyers' Association (NYCLA). Ms. Bosco also participates as a panel speaker at various industry conferences and events, speaking on a wide range of investment advisory, broker-dealer, regulatory and compliance issues.

Ms. Bosco obtained a B.A. in Political Science from the State University of New York, a J.D. from the City University of New York School of Law and an M.B.A. in Finance/Investment Management from Pace University. She also holds the Series 7 license.

JOHN P. BROADHURST

Mr. John Broadhurst graduated from Stanford Law School in 1978 as a member of Order of the Coif. On graduation, he joined the Business Department of Shartsis Friese LLP, a San Francisco commercial law firm as one of the firm's first associates. He became a partner in 1985.

He began his practice counseling clients on all types of business transactions, including acquisitions, venture

capital financings, public offerings and intellectual property matters. Over time, his practice focused increasingly on counseling clients in the financial services industry, principally investment advisory firms. He helped a number of highly successful money managers form hedge funds since the 1980s.

Mr. Broadhurst now focuses on issues relating to the regulation of investment advisers. He represents numerous professional money managers, many of whom have organized and now manage investment limited partnerships, offshore funds and other investment vehicles. Mr. Broadhurst frequently speaks at conferences regarding investment advisers, hedge funds and offshore funds. He is an active member of the American Bar Association's Subcommittee on Private Investment Entities. He continues to be listed in the International Who's Who of Private Funds Lawyers which features only the foremost practitioners. Mr. Broadhurst also was selected as one of The Best Lawyers in America for their 2006, 2007 and 2008 publications.

Mr. Broadhurst served as the Chairperson of the Hedge Funds Care-West Coast Benefit Dinner in 2002 (Inaugural) and 2003 (Co-Chair), and he serves on the Board of Directors and Executive Committee of the Board of Directors of Hedge Funds Care, as well as the Board of Directors of Hedge Funds Care (Cayman Islands). Hedge Funds Care is an alliance of hedge fund industry professionals committed to protecting children from abuse and neglect.

MICHAEL S. CACCESI

Mr. Michael S. Caccese, a Partner with K&L Gates, is one of three Practice Area Leaders of K&L Gates Financial Services Practice, which includes the firm's Investment Management and Broker Dealer Practice Groups, and sits on the firm's Management Committee. K&L Gates maintains one of the most prominent financial services practices in the United States—with over 150 lawyers practicing from Asia, Europe, and the U.S., representing diversified financial services institutions and their affiliated service providers. [\(BIO CONTINUES\)](#)

Mr. Caccese focuses his practice in the areas of investment management, including mutual funds, closed-end funds, private investment funds, hedge funds and managed accounts, in addition to advising on investment management and broker-dealer regulatory compliance. Mr. Caccese also advises on structuring investment management professional team “lift-outs” and “placement”, investment performance, the Global Investment Performance Standards (“GIPS”), the AIMR Performance Presentation Standards (“AIMR”), and the CFA Institute Trade Management (Best Execution) Guidelines, along with other investment industry standards of practice.

Prior to joining K&L Gates, Mr. Caccese was Senior Vice President and General Counsel to CFA Institute, formerly AIMR, from 1993 to 2000. He was responsible for developing and promulgating the AIMR Performance Presentation Standards, the Global Investment Performance Standards and the AIMR Soft Dollar Standards. From 1983 to 1993, he was Senior Vice President and Associate General Counsel for Frank Russell Company responsible for advising on the first multi-managed mutual funds, bank collective funds and private fund-of-funds. He was also responsible for the legal advice and compliance to one of the industry’s largest soft dollar brokerage businesses. From 1980 to 1983, Mr. Caccese worked for Federated Investors, Inc., as Corporate Counsel. In 1979 he began his career in the investment industry with the U.S. Securities Exchange Commission’s Division of Enforcement.

CHRISTOPHER CROSSAN

Mr. Christopher Crossan is the Vice President and Global Chief Compliance Officer at Dimensional Fund Advisors. Mr. Crossan joined Dimensional in 2004 as the firm’s chief compliance officer. He is responsible for making sure the policies, procedures, practices, and marketing materials for the firm and its global subsidiaries comply with industry regulations as set forth by the U.S. Securities and Exchange Commission, the Financial Industry Regulatory Authority, and other foreign regulatory agencies.

Before coming to Dimensional, Mr. Crossan was Senior Compliance Officer for INVESCO Institutional in Atlanta, Georgia, where he was instrumental in developing and managing the firm’s compliance functions. Previously, he filled a variety of roles at the U.S. Securities and Exchange Commission, inspecting more than 100 investment firms. His most recent role at the SEC was as branch chief, overseeing their mutual fund and advisor inspection programs in the Southeastern U.S. Mr. Crossan is a CPA, licensed in 2002 in the state of Georgia. He holds a B.S. in accountancy from Arizona State University.

THEODORE E. EICHENLAUB

Mr. Theodore E. Eichenlaub is a founding Partner of ACA Compliance Group. His primary responsibilities include conducting mock inspections, constructing performance composites and coordinating the review of personal securities transactions. Prior to forming ACA, Mr. Eichenlaub entered the U.S. Securities and Exchange Commission’s Office of Compliance Inspections and Examinations as a Securities Compliance Examiner under the Federal government’s Outstanding Scholar Program. During his tenure, he participated and led over 100 investment company, administrator, transfer agent, variable insurance product sponsor and investment adviser examinations, leaving the Commission as a Staff Accountant.

He has also spoken at several SEC training programs and served as Liaison to the SEC’s Boston District Office and Hong Kong’s Securities and Futures Commission. He has extensively analyzed exchange-traded funds (ETF) and has worked with the SEC’s Division of Enforcement on a number of serious regulatory issues. In addition to his existing responsibilities, Mr. Eichenlaub is actively involved with the Alternative Investment sector working closely with a variety of hedge fund managers overseeing their compliance programs. He is a 1996 graduate of the Pennsylvania State University with a B.S. in Finance and a minor in Economics.

SPEAKERS

MICHELE GIBBONS

Ms. Michele (Mitch) Gibbons is a Partner at Mayer Brown LLP. Her practice is focused on advising investment advisers, broker-dealers and private investment funds, including private equity funds, hedge funds, funds of funds and investment companies on organizational, regulatory, compliance and transactional matters. Ms. Gibbons also advises clients on regulatory issues involving anti-money laundering, privacy, disaster recovery, insider trading and international securities issues. She is a frequent speaker at national and industry conferences and a contributor to several industry publications.

Prior to joining Mayer Brown in 2002, Ms. Gibbons worked for Shearman & Sterling and KMZ Rosenman. Ms. Gibbons is a graduate of NYU School of Law, Harvard University John F. Kennedy School of Government and Trinity University.

BARRY Y. GREENBERG

Mr. Barry Y. Greenberg is a Partner at Akin Gump LLP and he focuses on advising both registered and unregistered investment companies and investment advisers. Mr. Greenberg provides guidance regarding the formation and operation of both U.S. and offshore investment advisers and their related private investment funds and compliance with registered investment adviser and broker dealer regulations. He also advises clients regarding potential investments in a variety of private equity and hedge funds. He has extensive experience in counseling clients regarding registered investment company matters.

In addition to providing advice to clients regarding fund formation and investing, Mr. Greenberg conducts in-depth investigations of accounting and financial statement issues for public companies and represents clients in various investigations by securities regulators.

Prior to joining Akin Gump, Mr. Greenberg served for 10 years as vice president, legal, compliance and administration of American Beacon Advisors, Inc., a wholly owned investment management subsidiary of AMR Corp. As the company's general counsel, he advised on a variety of matters, with an emphasis

on investment adviser and mutual fund legal and compliance issues.

Mr. Greenberg began his legal career in the Fort Worth District Office of the U.S. Securities and Exchange Commission. He served for seven years in the Enforcement Division as an enforcement attorney and branch chief, managing investigations of matters involving violations of investment adviser, investment company, broker-dealer and general corporate securities regulations.

Mr. Greenberg received his B.A. in 1985 from Emory University and his J.D. cum laude in 1988 from Tulane Law School. He is a member of the State Bar of Texas.

Mr. Greenberg is a frequent lecturer regarding a variety of topics affecting investment managers.

DAN GREGUS

Mr. Dan Gregus is Assistant Regional Director of the Chicago Regional Office, U.S. Securities and Exchange Commission.

JUSTIN GUTHRIE

Mr. Justin Guthrie is the Director of ACA Beacon Verification Services. In addition to serving as a manager on initial and ongoing verification projects, he serves on internal committees including business development and training where he is instrumental in leading firm initiatives that keep Beacon at the forefront of the latest industry trends.

Prior to joining Beacon, Mr. Guthrie gained valuable auditing experience during his tenure with Ernst & Young where he served various clients in the financial and health care industries. His auditing background, coupled with an understanding of investment management and performance measurement, helped develop Beacon's unique approach to the verification process that emphasizes investment management knowledge with an audit based verification approach.

Mr. Guthrie received his CFA charter in 2006 and his CPA designation in 2003. He graduated from the University of Tennessee with a B.S. in Business Administration/Accounting, and a Masters [\(BIO CONTINUES\)](#)

degree in Accountancy. He is a member of the CFA Institute, the Program Chair for the CFA Society of Chattanooga and an Advisory Board Member for the University of Tennessee (Chattanooga) College of Business.

ALAN K. HALFENGER

Mr. Alan Halfenger is the Chief Compliance Officer for Bain Capital, LLC. Prior to joining Bain Capital, LLC, he served as the Chief Compliance Officer and Head of Compliance for several J.P. Morgan business units including: J.P. Morgan Private Bank, J.P. Morgan Private Investments Inc., JPMSI Equity Derivatives, and several Broker/Dealers and Investment Advisers within the firm's retail investment business. His previous experience includes working as a Senior Consultant in the Price Waterhouse LLP Investment Management and Securities Operations consulting practice where he worked with bank capital markets and trading departments. Mr. Halfenger also served as a compliance officer at Citigroup, National Westminster Bank, and Chemical Investment Services.

Mr. Halfenger is a graduate of the Syracuse University College of Law and the New York University Stern School of Business. He has held the various regulatory designations including the Series 4, 7, 24, 9, 10, and 53. Mr. Halfenger has spoken at industry seminars and written articles on a variety of technology, operational, regulatory compliance and risk management topics.

JUSTIN KAM

Mr. Justin Kam is a director at National Compliance Services, Inc. and is responsible for management of the firm's investment adviser consulting department. National Compliance Services, Inc. provides regulatory consulting services to investment advisers, mutual funds, private equity funds, hedge funds and broker-dealers. Mr. Kam is also an attorney licensed in the state of Florida since 1997 and practices law in the areas of securities litigation and arbitration, regulatory matters and corporate securities.

LAURIN BLUMENTHAL KLEIMAN

Ms. Laurin Blumenthal Kleiman is a Partner in Sidley's New York office, where she focuses on the representation of investment funds and advisers.

Ms. Kleiman's practice includes creation and regulation of mutual funds, money market funds, closed-end funds and offshore funds. She has extensive experience advising clients with respect to fund compliance and governance issues and fund mergers, acquisitions and reorganizations. Ms. Kleiman also advises both U.S. and non-U.S. investment advisers in connection with U.S. federal and state investment adviser regulation and compliance.

Ms. Kleiman joined the firm in 1983. She is firmwide co-chair of Sidley's Committee on Retention and Promotion of Women as well as a member and former co-chair of the Committee on Programs for the Orientation of New Associates and a member of the Committees on Recruiting of New Associates, Professional Risk Management and Computers and Legal Technology.

Ms. Kleiman was named a leading lawyer in the publication Chambers USA: Americas Leading Lawyers for Business 2008. In addition, in 2008, the firm's Investment Funds, Advisers and Derivatives group was named "Investment Funds Team of the Year for the U.S." by Chambers and Partners. In addition, Sidley received Institutional Investor's 2006, 2007 and 2008 Alpha Awards™ for hedge fund legal service providers in both the overall U.S. and Regulatory & Compliance categories.

PETER KOFFLER

Mr. Peter Koffler is a Managing Director in the Administration Group responsible for a variety of legal and compliance matters, including serving as Chief Compliance Officer of Blackstone's funds of hedge funds group and Blackstone's proprietary hedge fund groups. Prior to joining Blackstone, Mr. Koffler served for 19 years as General Counsel and Chief Compliance Officer of Twenty-First

SPEAKERS

Securities Corporation, an institutional trading and investment firm. Mr. Koffler began his legal career at Baer Marks & Upham. Mr. Koffler received a JD, with honors, from Hofstra University School of Law, where he served as an editor of the Law Review. He received a BA from the State University of New York at Binghamton.

RANDALL LEE

Mr. Randall Lee is the Partner-in-Charge of Wilmer-Hale's Los Angeles office, a member of the Securities and Litigation/Controversy Departments, and a member of the Securities Litigation and Enforcement and Investigations and Criminal Litigation Practice Groups. He joined the firm in 2007 after serving as the Regional Director of the Pacific Regional Office (now known as the Los Angeles Regional Office) of the U.S. Securities and Exchange Commission from 2001 to 2007. As Regional Director, Mr. Lee was responsible for the Commission's enforcement and examination programs in California, Arizona, Nevada, Hawaii, Oregon, Washington, Idaho, Montana and Alaska. The first Asian American to head an SEC regional office, Mr. Lee led numerous significant and high profile SEC enforcement actions involving financial reporting and accounting misconduct, mutual fund abuses, auditor misconduct, FCPA violations, broker-dealer violations, municipal bond fraud, insider trading, market manipulation and investment fraud. He managed a staff of approximately 170 attorneys, accountants, examiners and support personnel.

From 1994 to 2001, Mr. Lee was an Assistant United States Attorney in Los Angeles, where he specialized in the investigation and prosecution of complex business crimes, including securities fraud, financial institution fraud, tax crimes, money laundering and computer crimes, and served as a Deputy Chief in the Major Frauds Section of the U.S. Attorney's Office.

Before becoming a federal prosecutor, Mr. Lee was a corporate lawyer at Munger, Tolles & Olson in Los Angeles with an emphasis on mergers and acquisitions and securities offerings. He began his

professional career as an associate in corporate finance and banking at Bankers Trust Company.

Mr. Lee specializes in securities enforcement and compliance matters and white collar criminal defense. He represents public companies, financial services firms, accounting firms, and corporate directors and officers in SEC and other regulatory and law enforcement investigations, examinations, and related litigation. In addition, Mr. Lee conducts internal investigations on behalf of management and boards of directors, and provides regulatory compliance advice to securities market participants.

In February 2008, Mr. Lee was named a 'Star Lateral of the Year' by *The American Lawyer* magazine.

Mr. Lee is a frequent speaker on subjects relating to securities regulatory and enforcement issues, internal investigations and white collar crime. He has also lectured on behalf of the International Organization of Securities Commissions (IOSCO) in Bangkok, and on behalf of the U.S. State Department in Tokyo.

JEANNETTE L. LEWIS

Ms. Jeannette L. Lewis joined Driehaus Capital Management LLC (Driehaus) as Assistant General Counsel in June 2007. In her role as assistant general counsel, Ms. Lewis formulates recommends, implements, monitors and evaluates policies and procedures designed to meet legal and regulatory responsibilities in alignment with senior management's strategic and business initiatives.

Prior to joining Driehaus, Ms. Lewis was employed with the U.S. Securities and Exchange Commission (SEC). Ms. Lewis started her career with the Midwest Regional Office of the SEC in 1988 as a staff attorney in the Division of Enforcement. In 1992, she was promoted to Branch Chief, a first line supervisor, with responsibility for supervising staff attorneys conducting investigations into and litigation of violations of the federal securities laws. In 1995, she was again promoted to Assistant Regional Director, a second line supervisor, supervising branch chiefs, staff attorneys and paralegals conducting investigations and litigation of various fraudulent (BIO CONTINUES)

activity, including insider trading, accounting fraud, market manipulation, front-running and performance advertising. In December 1999, she was named the Senior Special Counsel for Regulation providing legal advice on all areas of the brokerage and investment management communities, including, broker-dealers, transfer agents, clearing agents, investment advisers and investment companies. In 2004, Ms. Lewis was once again promoted to an Associate Regional Director for the Investment Management/Regulation program where she had supervisory responsibility for regulatory examinations of registered investment advisers and investment companies located in the Midwest.

Ms. Lewis graduated from Loyola School of Law in 1988 and from the University of Illinois at Champaign-Urbana in 1985.

DAVID M. MATTESON

Mr. David M. Matteson is a Partner at Drinker Biddle & Reath, LLP and a member of the Investment Management Practice Group.

For almost 30 years, Mr. Matteson has concentrated his practice in the area of asset management, with an emphasis on derivatives. He has represented hedge funds, commodity pool operators (CPOs), commodity trading advisors (CTAs), investment advisers and offshore and onshore funds.

Mr. Matteson has advised clients as to the various structures and strategies with respect to the formation of funds and their management companies, SEC and CFTC compliance and regulatory issues, offering memoranda, marketing materials and appropriate investment agreements and terms of specific investment funds. Prior to joining the firm, Mr. Matteson was general counsel of a hedge fund manager. He has been named one of the Best Lawyers in America® for his Hedge Fund/Investment Management practice.

PAUL M. MILLER

Mr. Paul M. Miller is a Partner within the Investment Management Group at Seward & Kissel LLP. Mr. Miller's practice focuses primarily on registered

investment companies, registered investment advisers and broker-dealers. He has worked extensively on the full range of matters affecting registered investment advisers, including their formation, their registration with the U.S. Securities and Exchange Commission under the Investment Advisers Act of 1940, their participation in managed account and wrap programs and their ongoing regulatory reporting and compliance obligations. He has also worked extensively on the full range of matters affecting mutual funds, including their formation, their registration with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940, their service provider arrangements with investment advisers, distributors, transfer agents and custodians and their ongoing regulatory reporting and compliance obligations. He has advised investment companies and investment advisers on matters relating to their periodic examination by the staff of the U.S. Securities and Exchange Commission. He has advised broker-dealers on their ongoing regulatory and compliance obligations and on brokering deposit products and deposit account sweep products.

Mr. Miller is co-author of several published articles, including "Compliance Monitoring and Testing," *Investment Adviser Association Newsletter*, February 2008; "Complying with State Gaming Regulations," *Investment Adviser Association Newsletter*, March 2006; "The New Mutual Fund Redemption Fee Rule," *The Journal of Investment Compliance*, Summer 2005; "Disclosure of Market Timing, Fair Value Pricing, and Selective Disclosure Policies," *The Investment Lawyer*, August 2004; and "Compliance Programs of Registered Investment Advisers and Investment Companies," *The Review of Securities and Commodities Regulation*, February 2004.

Mr. Miller received a B.S. degree in Business Administration from the University of North Carolina at Chapel Hill (Kenan-Flagler Business School) in 1994 and a J.D. degree, *cum laude*, from the College of Law at Syracuse University in 1998. Mr. Miller is a member of the bars of Washington D.C. and Virginia. He is also a member of the Federal Bar Association and the Virginia Bar Association.

SPEAKERS

MARIANNE O'DOHERTY

Ms. Marianne O'Doherty is a Principal, Senior Vice President and the Chief Compliance Officer at Smith Breeden Associates, Inc. Smith Breeden is a fixed income asset manager which invests primarily in mortgage and asset backed securities. Prior to joining Smith Breeden, Ms. O'Doherty was Vice President and Assistant General Counsel of The Hartford Financial Services Company, Inc. where she was lawyer for the Investment Products Division of Hartford Life Insurance Company. She graduated from Santa Clara University with a Bachelor of Science in Political Science and received her Juris Doctor from Georgetown University Law Center. She is a member of the bar in the Commonwealth of Virginia, the District of Columbia and Connecticut.

BRIAN L. RUBIN

Mr. Brian L. Rubin is a Partner with Sutherland in Washington, DC. He represents broker-dealers, investment advisers, investment companies, public companies and individuals being examined, investigated and prosecuted by the Securities and Exchange Commission, the Financial Industry Regulatory Authority (FINRA) and states. He also advises clients on federal and state securities regulatory and compliance matters. In addition, Mr. Rubin conducts internal investigations. Recently, he tried a precedent-setting case against the SEC regarding Regulation S-P. He also successfully defended a firm and its president in a trial and an appeal brought by the SEC involving Class B share mutual funds. Mr. Rubin was named to The Best Lawyers in America in 2008 and 2009. He also won the Burton Award for Legal Achievement for co-authoring an article analyzing whether respondents should litigate against NASD.

Before Sutherland, Mr. Rubin was Deputy Chief Counsel with the NASD's Enforcement Department, where he managed attorneys and examiners in the Washington, DC, home office and in the district offices. While with NASD, he worked on many of the most significant actions brought by Enforcement.

He received both the Excellence in Service Award for outstanding commitment and superior performance in support of NASD and the NASD President's Award for outstanding performance and dedicated service. Previously, Mr. Rubin was Senior Counsel in the SEC's Division of Enforcement.

He regularly speaks and writes about securities issues. In recent years, he has spoken at conferences sponsored by the SEC, NASD, the National Society of Compliance Professionals, the Securities Industry Association, the American Law Institute-American Bar Association, the Financial Services Institute, and the National Association for Variable Annuities. Recent articles include: "Without admitting or denying'—and then what?" *FSI Voice* (December 28, 2008); "Getting credit from FINRA for extraordinary cooperation: what does it all mean?" *CompliNet* (December 17, 2008); and "Money: Investment Scams and What Firms May Be Able To Do About Them," *Practical Compliance & Risk Management for the Securities Industry* (September/October 2008)

He received his J.D. and his M.A. in Economics from Duke University and received his B.S., *cum laude*, from the Wharton School, University of Pennsylvania.

GREGORY S. RUBIN

Mr. Gregory S. Rubin is the Chief Compliance Officer and Associate General Counsel of Oak Hill Advisors, L.P. Prior to joining Oak Hill in 2005, Mr. Rubin served as Vice President and Regulatory Counsel with Morgan Stanley, and as a corporate and securities attorney with Lewis and Roca, LLP. Mr. Rubin earned a J.D. from Cleveland-Marshall College of Law and a B.B.A. degree from the University of Cincinnati.

CATHIE SAADEH

Ms. Cathie Saadeh has served as the editor of ACA Insight (formerly known as IM Insight) since 2004. Prior to that, she served as the editor of another compliance newsletter. Ms. Saadeh also has worked as an attorney at the law firms of Wilmer Hale and Morgan, Lewis & Bockius, and in the SEC's Division of Investment Management.

JOSE SANCHEZ

Mr. Jose F. Sanchez is a Partner at Sidley Austin LLP. He joined the firm's Los Angeles office in 2007 as a partner in the Litigation group. Mr. Sanchez's practice focuses on complex civil litigation and government investigations. For example, Mr. Sanchez is handling securities litigation on behalf of a major accounting firm related to a subprime mortgage company. Mr. Sanchez also represents clients in connection with Securities and Exchange Commission and/or Department of Justice investigations involving stock options, insider trading, and mortgage company accounting practices. Mr. Sanchez has conducted internal investigations related to potential insider trading and financial fraud allegations, among other issues, and advises registered entities such as hedge funds on regulatory and compliance matters during SEC examinations.

Prior to joining the firm, Mr. Sanchez was Senior Trial Counsel for the SEC's Pacific Regional Office. He has extensive experience in a wide range of complex enforcement cases involving accounting and disclosure fraud, unregistered securities offerings, insider trading, and broker, investment advisor and other regulated entities. While at the SEC, he played a leadership role in several high profile cases, including the first SEC case connected with the recent market timing scandal to go to trial and a financial fraud case that led to the imposition of one of the largest penalties against an individual. Mr. Sanchez successfully helped try two of only ten federal court cases the SEC took to trial nation-wide in 2006.

During law school, Mr. Sanchez was awarded a two-year Skadden Public Interest Law Fellowship. As a Skadden Fellow, he worked for the Employment Law Center/Legal Aid Society of San Francisco where he represented workers in Labor Commission and Unemployment Insurance administrative hearings, developed and staffed workers' rights clinics throughout Bay Area peninsula, and participated in city task forces addressing employment, immigration, and safety issues of day laborers. Mr. Sanchez also clerked for The Honorable Richard A. Paez, then, of the

United States District Court for the Central District of California and for The Honorable Harry Pregerson of Ninth Circuit Court of Appeals. Following his clerkships, Mr. Sanchez was a litigation associate at a private law firm and worked at the Anaheim City Attorney's Office as a Pro Bono Deputy City Attorney through the Los Angeles County Trial Advocacy Program.

Memberships & Affiliations

- Board Member, Mexican American Bar Foundation
- Member, Board of Governors, Los Angeles County Economic Development Corporation

BARRY SCHWARTZ

Mr. Barry Schwartz is a founding Partner of ACA Compliance Group and is responsible for coordinating and conducting mock inspections of investment advisers, investment companies and hedge funds. He also assists ACA clients in responding to SEC deficiency letters, reviewing best execution and trading practices, preparing advertisements that comply with the federal securities laws and developing customized policies and procedures. Mr. Schwartz spearheads ACA's ongoing efforts to help regulated entities make better use of technology to track and mitigate internal and external compliance risks. He is a frequent speaker at industry conferences that focus on compliance issues.

Mr. Schwartz joined the U.S. Securities and Exchange Commission's Office of Compliance Inspections and Examinations in 1998 as a Securities Compliance Examiner and was subsequently promoted to Staff Accountant. While on the SEC staff, he participated in over 90 examinations of investment advisers, investment companies, and transfer agents and subsequently referred four registered investment advisers and investment companies to the SEC's Division of Enforcement for further investigation. In addition, Mr. Schwartz lectured at the SEC's annual training seminar for new inspection staff. For his efforts to help prepare the industry for Y2K, Mr. Schwartz was awarded the SEC's Examination Award of Excellence. Prior to joining the SEC, he was employed by a prominent Washington, DC registered investment adviser. He graduated cum laude from The American

SPEAKERS

University, Washington, DC, majoring in International Finance with a minor in Spanish Language Studies.

THOMAS G. SHUGRUE

Mr. Thomas G. Shugrue is the President of Carolina Capital Markets, an institutional fixed income broker/dealer. The firm has been in existence since 1994. Prior to joining CCM, Mr. Shugrue spent 20 years with Smith Barney and Prudential Securities as an institutional fixed income salesman and sales manager. He is a leading expert on Section 28(e) and how it applies to third party fixed income research. Mr. Shugrue graduated from Villanova University in 1969 and received an MBA from Georgia State University in 1974. He was a Captain in the US Marine Corps and served in a tour of duty in the Republic of South Viet Nam

ROBERT STYPE

Mr. Robert Stype is a founder and the Managing Partner of ACA Compliance Group. He provides regulatory and compliance consulting services to private funds, investment advisers and investment companies. Mr. Stype works with investment management organizations on various aspects of their compliance programs, including performing risk management reviews and mock inspections. Additionally, he is an active speaker at industry conferences, and periodically authors compliance related articles for industry journals and periodicals.

Prior to ACA, Mr. Stype worked for eight years at the U.S. Securities and Exchange Commission's Office of Compliance Inspections and Examinations. During his tenure at the SEC (1994 – 2002), Mr. Stype conducted examinations of investment advisers and investment companies. In May of 2000 he was promoted to Branch Chief and was responsible for managing a team of five examiners.

Mr. Stype also performed extensive work on several key SEC projects relating to soft dollars and performance advertising.

In December 1999, Mr. Stype received the Examination Award of Excellence from the SEC. This award is given annually to the examiner who contributes the most in the way of dedication, integrity, and performance to the SEC's examination program. Mr. Stype graduated *summa cum laude* from Clarion University of Pennsylvania in 1993 with a B.B.A. in Finance.

TIMOTHY TAFT

Mr. Timothy Taft joined ACA Compliance Group in June 2005 as a Compliance Analyst and currently serves as IT Manager in the Washington, DC office. His primary responsibilities include assisting with the development and maintenance of the IT infrastructure of nine offices and approximately 70 employees in addition to overseeing and assisting with all IT projects and initiatives. Additionally, Mr. Taft is responsible for overseeing the development, implementation, and maintenance of ACA's web-based compliance systems: Personal Trading (STOCS), Preclearance (OPS), and Code of Ethics (CORS).

Mr. Taft supervises and manages the teams responsible for conducting the Personal Trading and Best Execution Reviews & Analyses. While at ACA, Mr. Taft has participated in several mock SEC inspections and annual compliance reviews for various investment advisors and hedge fund advisors.

Mr. Taft graduated *magna cum laude* from Utica College in May 2005 with a B.S. in Criminal Justice: Economic Crime Investigation with a concentration in computer security.

DUANE THOMPSON

Mr. Duane Thompson is Managing Director of the Washington, D.C., office of the Financial Planning Association ("FPA®"). With 28,000 members, it is the largest such professional organization in the United States. Mr. Thompson has 20 years' experience lobbying on business issues in state capitols and before Congress. He is responsible for overseeing FPA's advocacy work, including [\(BIO CONTINUES\)](#)

government and media relations activities in Washington, D.C., and a national pro bono program.

Among recent accomplishments, Mr. Thompson directed a combined litigation, lobbying and public relations campaign to successfully overturn the so-called “Merrill Lynch” rule. Also known as Rule 202, the SEC rule exempted fee-based brokerage accounts from jurisdiction of the Investment Advisers Act of 1940. FPA filed a legal challenge in 2005, and the rule was overturned by a federal appeals court in 2007. Previously, he worked successfully to amend the 1940 Act as part of broader securities reform legislation, resulting in uniform application of state rules to investment advisers. Mr. Thompson was named “Lobbyist of the Year” in 2005 by *Compliance Reporter* and in *Financial Planning* magazine as one of the profession’s “Movers and Shakers” to watch in 2008. He has been quoted in numerous newspapers, magazines and trade press over the years on regulatory and compliance issues.

Prior to his advocacy work, he served as press secretary to former Congressman Michael Strang of Colorado and as a news summary editor in the Reagan White House, Office of the Press Secretary. In 1995, he was elected as a Colorado delegate to the White House Conference on Small Business, representing a family business. As a journalist in the early 1980s, he served as a free-lance war correspondent covering conflicts in Lebanon and Nicaragua for various newspapers.

He currently serves on the Board of Directors of Jump\$tart, a national coalition of organizations dedicated to improving the financial literacy for students, and is active in historic preservation issues in Kensington, Maryland, where he resides with his two children. Mr. Thompson has a Master’s degree in journalism from the University of Missouri and a Bachelor of Arts in history and studio art from Principia College, Elsah, Illinois.

GARY WATKINS

Mr. Gary Watkins is a founding Partner of ACA Compliance Group and is located in the firm’s Richmond office. His primary responsibilities include conducting mock inspections of investment advisers and hedge funds. Mr. Watkins also assists ACA clients in responding to SEC deficiency letters, reviewing best execution and trading practices, preparing advertisements that comply with the federal securities laws and developing customized policies and procedures. In addition, he has liaised with the SEC on behalf of his clients during regulatory inspections. A frequent speaker at industry seminars, he also writes articles related to compliance issues.

Prior to joining ACA, Mr. Watkins owned his own consulting firm servicing investment advisors. He was responsible for consulting on a variety of compliance issues related to federal and state registered investment advisors. He was also active in lobbying the Virginia General Assembly and the Virginia State Corporation Commission to promote and protect the interests of investment advisers located in Virginia. Mr. Watkins developed his inspection background as a state securities regulator with the Virginia State Corporation Commission’s Division of Securities. While employed with the state of Virginia, he was responsible for conducting on-site investment adviser compliance examinations and investigations. Mr. Watkins participated in several conferences sponsored by the National White Collar Crime Unit, NASAA, NASD, and SEC. He also conducted many investigations on alleged violations of the Virginia Securities Act and participated in criminal investigations with local law enforcement agencies. Mr. Watkins holds degrees in accounting, psychology, and criminal justice from Virginia Commonwealth University.

CINDY WONG

Ms. Cindy Wong is Assistant Director of the Los Angeles Regional Office, U.S. Securities and Exchange Commission

SPEAKERS

SUSAN WYDERKO

Ms. Susan Wyderko is the Executive Director of the Mutual Fund Directors Forum. She joined the Forum in the Summer of 2006, coming from the U.S. Securities and Exchange Commission where she had been the Director of the Office of Investor Education and Assistance since 2000. She had earlier held a number of senior jobs within the Commission, and served as the Acting Director of the Division of Investment Management from January to May of 2006. During her tenure with the Commission, Ms. Wyderko also served as the Director of the Office of Legislative Affairs, the Acting Director of the Office of Public Affairs, and Counsel to Chairman Arthur Levitt. She joined the Commission's staff in 1985 as a staff attorney in the Office of the General Counsel, and also worked in the Trial Unit of the Division of Enforcement. Prior to joining the Commission, she worked as an associate at the law firm of Miller & Chevalier.

Ms. Wyderko earned her J.D. from Cornell Law School, where she was an Editor of the *Cornell Law Review*. She is a graduate of Wellesley College.

LINDA YODER

Ms. Linda Yoder is a Staff Accountant in the Office of Compliance, Inspections and Examinations ("OCIE") at the Fort Worth Regional Office of the U.S. Securities and Exchange Commission. Ms. Yoder has been with the Commission for 8.5 years in the examination program, conducting examinations of investment companies and investment advisers. Ms. Yoder holds a Masters degree in Financial Accounting and Internal Audit from the University of North Texas and is a Certified Public Accountant, licensed in the state of Texas.

CHRISTOPHER ZINGO

Mr. Christopher Zingo is the Vice President of Sales and Support for the Americas at SuperDerivatives, where he is responsible for leading the sales team in the region and driving revenue growth.

Before joining SuperDerivatives in April 2008, Mr. Zingo served as senior managing director for Thomson Financial's Corporate Services Group in North America, where he was responsible for sales and services for Thomson's corporate customers.

Prior to this, Mr. Zingo was vice president of sales at Bloomberg LP, where he led the sales efforts for the company's desktop, trading, and portfolio order management services. Mr. Zingo began his career as a trader for Weiss Peck and Grier in New York.

