

D.E. Scott & Associates, LLC

CONFERENCE CALL INVITATION

You are cordially invited to attend a conference call presentation to review critical challenges in meeting the SEC's expectations regarding investment adviser compliance programs.

Date and Time

Thursday, March 27th, at 2:00 PM EDT. The call will last approximately 1 ½ hours.

Topic Matter

This presentation will explore some of the SEC's most often cited examination deficiencies. The presentation will also outline common challenges faced by many investment managers in implementing functional compliance programs, as well as approaches used by some firms to meet those challenges.

Speakers

David E. Scott, *Managing Member and Senior Consultant*

Mr. Scott started his career in 1995 as a Securities Compliance Examiner with the Boston Regional Office of the SEC, where he conducted and managed regulatory examinations of investment advisers, hedge funds, mutual funds and fund transfer agents. Since his service with the SEC, Mr. Scott has provided compliance services to a variety of investment management organizations, serving in both internal and advisory capacities. Mr. Scott is also routinely asked to provide input on topical compliance issues for a number of industry publications, including the *Journal of Investment Compliance* and the *Compliance Reporter*.

Kenneth C. Karcher, *Director and Senior Consultant*

Mr. Karcher offers over thirty years of investment management industry experience and has served in a variety of roles, including ten years as a Senior Examiner with the SEC's Boston Regional Office. During his tenure with the SEC, Mr. Karcher managed the field examinations of a large number of investment advisers, mutual funds and fund transfer agents, and played a significant role in the training and development of SEC staff members currently serving in senior examination capacities.

Note: Additional information regarding speaker biographies may be found at: www.descott.com.

To Attend

Simply provide the information requested below and **fax this form to (646) 390-7868**.

Please **RSVP by 4:00 PM EDT on Tuesday, March 25th**.

Attendee: _____ **Title:** _____

Company: _____ **Email*:** _____

*** Presentation materials and dial-in instructions will be sent to this e-mail address.**