

FrontLineCompliance

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FrontLine Compliance President to Offer Timely Guidance on Risk Management to Broker-Dealers at SIFMA Conference

Former SEC and FINRA regulator to address audience of CEOs and senior management on mitigating exposures to risk

ALEXANDRIA, VA (PRWEB) October 14, 2008 – Amy Lynch, president and founder of FrontLine Compliance, LLC will provide critical and strategic advice to her audience at the upcoming SIFMA Small Firms Conference on October 15-17, 2008 at Marriott's Harbor Beach Resort & Spa in Fort Lauderdale, FL. Lynch, a former SEC and FINRA regulator, will be a featured speaker on the topic of identifying and mitigating risk in the small broker-dealer.

"The current financial crisis has put the industry's focus squarely on risk management practices," comments Lynch, also a former director of compliance and chief compliance officer. "Finding effective mechanisms to monitor for risk exposures should be a key component in any broker-dealer's compliance program – especially today. My speaking session will offer ways for small firms to manage a risk assessment process that is both meaningful and resourceful."

Selected as a speaker for her industry and regulatory experience, Lynch will draw on her vast experience with broker-dealer compliance matters impacting small firms. She has been recognized as an expert on a number of high profile regulatory issues and previously supervised and coordinated training programs for the SEC, FINRA, and other regulatory agency staff.

FrontLine Compliance, LLC is a regulatory compliance consulting firm of former high-level regulatory insiders offering customized services to broker-dealers, investment advisers, investment companies, hedge funds, and insurance company affiliates. Staffed by former SEC and FINRA regulators, and chief compliance officers, FrontLine Compliance provides the kind of industry knowledge, experience and expertise on regulatory issues only available from well-seasoned insiders. For more information about the firm, please visit www.frontlinecompliance.com.

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