

FrontLineCompliance

FrontLine Compliance President to Offer Guidance on Senior Investor Issues at SIFMA Independent Firms Conference

Former SEC and FINRA regulator to speak on key regulatory compliance issues facing broker-dealers with senior investors

ALEXANDRIA, VA (PRWEB) May 19, 2008 – Amy Lynch, President and founder of FrontLine Compliance, LLC will provide timely and strategic advice to her audience at the upcoming 4th Annual Independent Firms Conference held by the Securities Industry and Financial Markets Association (SIFMA) on May 21-22, 2008 at the Wyndham Hotel in Chicago. Lynch, a former SEC and FINRA regulator, will be a featured speaker on the topic of senior investor issues and their current regulatory focus and business impact on independent broker-dealers.

“With the baby boomer generation now swelling the ranks of senior investors, FINRA and other regulators have put firms dealing with these customers on their radar,” comments Lynch, also a former broker-dealer compliance officer. “In light of the current regulatory scrutiny of free lunch seminars and senior designations, among others, firms need to train their reps on sensitive senior issues and implement appropriate best practices for sales to seniors. My panel presentation will highlight areas of concern for firms with senior investors and discuss both the necessary and practical compliance approaches firms need to take in today’s environment.”

Selected as a speaker for her industry and regulatory experience, Lynch will draw on her vast experience with broker-dealer compliance matters. 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 services firm that assists broker-dealers, investment advisers, investment companies, hedge funds, and insurance affiliates in areas of compliance administration and cost reduction. For more information about the firm, please visit <http://www.frontlinecompliance.com>.

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