

# FrontLineCompliance

## **FrontLine Compliance President to Explain Advertising Missteps at ALI-ABA Investment Adviser Regulation Event**

### ***Former SEC and FINRA regulator to speak on advertising/marketing and referral relationships***

**ALEXANDRIA, VA (PRWEB) January 22, 2008** – Amy Lynch, President and founder of FrontLine Compliance, LLC will seek to enlighten her audience at the upcoming 14<sup>th</sup> Annual ALI-ABA Investment Adviser Advanced Course and Webcast on January 24-25, 2008 at Fordham Law School in New York City. Lynch, a former SEC regulator, will explain the SEC's requirements for investment advisers when conducting advertising/marketing and pursuing referral relationships, and identify the common errors made by firms in these areas.

"Investment advisers depend on their advertising/marketing and referral arrangements to attract clients; they don't want them to attract the regulators," cautions Lynch, also a former investment adviser CCO. The ALI-ABA course will offer valuable insight into practical applications of SEC rules. The goal of my panel session is for participants to recognize how investment adviser regulations impact their firm's marketing/advertising and referral arrangements within the scope of conducting their business."

Selected as a speaker for her industry and regulatory experience, Lynch will draw on her vast experience with investment adviser 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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#### **For more information:**

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