

# FrontLineCompliance

## **FrontLine Compliance President to Address Attendees at Upcoming Financial Research Associates Conference**

*Former SEC and NASD regulator speaks  
on "How to Thrive Through an SEC Audit"*

ALEXANDRIA, VA (PRWEB) July 12, 2006 – Amy Lynch, President of FrontLine Compliance, LLC (FLC), a securities compliance services firm, will address the upcoming Reg NMS and Soft Dollar Compliance Forum. Sponsored by Financial Research Associates, LLC (FRALLC), the conference will take place July 17-18, 2006 at the Hyatt Regency, Bethesda, Maryland.

"I'm anticipating an active discussion on the SEC examination process and the SEC's recent guidance regarding Soft Dollar Compliance." said Lynch. "Soft Dollars will continue to be a focus area of SEC examinations for investment advisers and broker-dealers. This conference will be a good opportunity for firms to learn what the SEC will be looking for during examinations on a going forward basis."

Lynch was selected as a panel member due to her industry and regulatory experience. As a former senior SEC staff member she contributed to the SEC's 1998 Soft Dollar Report. Now, as President of FrontLine Compliance, LLC, she provides advice for regulated firms on both sides of the soft dollar debate.

"Each firm should look at its specific role in its soft dollar relationships and monitor each relationship separately in order to avoid the trap of generalizing products or services." said Lynch. "Attendees will get several practical examples of how to deal with difficult compliance scenarios."

Founded by Amy Lynch, a former regulator for the Securities & Exchange Commission (SEC) and NASD, FrontLine Compliance, LLC is a regulatory compliance firm that assists broker-dealers, investment advisers, investment companies, hedge funds, and insurance companies in areas of compliance administration and cost reduction. More about the consultancy may be found on its website: [www.frontlinecompliance.com](http://www.frontlinecompliance.com)

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