

FrontLineCompliance

FrontLine Compliance President to Speak at Upcoming Conferences Sponsored by Institutional Investor and Financial Research Associates

Former SEC and NASD regulator to present on compliance outsourcing for Chief Compliance Officers and marketing/advertising compliance for investment advisers

ALEXANDRIA, VA (PRWEB) March 12, 2007 – Amy Lynch, President of FrontLine Compliance, LLC (FLC), a securities compliance services firm, will be a featured speaker at Institutional Investor's 2nd Annual Chief Compliance Officer Forum to be held March 14-15, 2007 at The Westin Hotel, NYC. She will also present at the Financial Research Associates 2nd Annual Marketing & Advertising Compliance Forum for Investment Advisers to be held March 29-30, 2007 at The Princeton Club, NYC.

Ms. Lynch will deliver "Outsourcing Compliance Functions: How and When it Makes Sense" at the Chief Compliance Officer Forum on March 15, 2007. "Chief Compliance Officers (CCOs) want cost-effective solutions to help enhance their firm's compliance programs and satisfy regulatory requirements," said Lynch. "Outsourcing certain compliance components allows CCOs to focus on business priorities and ease their regulatory burdens. Firms, however, must recognize that they do not dispose of their regulatory responsibilities or liability when engaging third party vendors."

On March 29, 2007, Ms. Lynch will present "Understanding the SEC and NASD General Advertising Requirements" at the Marketing & Advertising Compliance Forum for Investment Advisers. "Investment advisers face a variety of regulations when they use advertising to promote their advisory services or investment vehicles," commented Lynch. "New advertising channels, such as web-based ads, e-mail promotions and blogs, need to be reviewed even more carefully for compliance as regulators have expanded their focus even further."

Selected as a speaker for her industry and regulatory experience, Ms. Lynch has worked on regulatory compliance issues throughout her career. "Both forums should provide important insights on how to address key compliance challenges in the altered regulatory landscape. Compliance outsourcing and advertising regulations are important areas that compliance personnel should acknowledge and consider when reviewing their firm's compliance objectives."

Founded by Amy Lynch, 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 consulting firm may be found on its website: www.frontlinecompliance.com

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