

FrontLineCompliance

FrontLine Compliance President to Speak at BD Week's Annual Compliance Conference

Former SEC and NASD regulator to address attendees on advertising compliance in the current regulatory environment

ALEXANDRIA, VA (PRWEB) October 11, 2006 – Amy Lynch, President of FrontLine Compliance, LLC (FLC), a securities compliance services firm, will present “Advertising: Navigating the Regulatory Minefield” at BD Week’s Compliance Conference on October 16, 2006 at the Westin Grand Hotel in Washington, DC.

“In recent years emerging compliance issues related to advertising have required heightened attention by firms,” said Lynch. “The evolution of web-based ads, electronic communications and blogs has meant firms must further scrutinize activities by registered reps to determine what falls within advertising regulations. This forum represents an excellent vehicle for firms to learn about current advertising regulations, as well as how electronic communication, in all its variations, has dramatically altered the regulatory landscape.”

Selected as a panel member for her industry and regulatory experience, Lynch has worked on advertising compliance issues throughout her career. As a former SEC and NASD regulator she conducted inquiries into investment adviser, investment company, and broker-dealer advertising. In the private sector Lynch was responsible for portions of the E*Trade website when she served as a compliance officer for E*Trade Financial. Now, as President of FrontLine Compliance, LLC, she advises firms on numerous regulatory matters.

“It’s important for compliance professionals to have a good grasp of the different advertising methods used by their firm and its registered reps,” said Lynch. “Conference attendees will get a thorough overview of advertising regulations as well as several practical examples of how to handle challenging compliance scenarios.”

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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