

## ASCENDANT CONFERENCES “AHEAD OF THE CURVE”

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JUNE 8, 2009. As the financial crisis unfolded, Ascendant Compliance Management, Inc. foresaw the direction regulators were headed. In early May 2009, Ascendant announced plans for our annual Fall Compliance Event for investment management firms,

### **“A Focus on Fraud Prevention—Internal Controls and Systems to Build Client Confidence”**

September 24-25, 2009

Grand Hyatt Hotel

New York, NY

Then, as predicted, on June 2, 2009, SEC Chairman Mary Shapiro testified before Congress indicating that the SEC was working on several fronts to combat fraud in the industry. After describing recent enforcement actions, Chairman Shapiro announced that SEC Staff would receive new training “to identify the warning signs and red flags that indicate evidence of fraud and fraud risk.” See Mary Shapiro Testimony Before the Subcommittee on Financial Services and General Government.

Ascendant’s conferences offer the most up-to-date compliance management information for investment managers. This learning forum combines new regulatory insight with operations application, a focus on professional development, and a hands-on workshop. Leading industry speakers will include Richard Marshall (Ropes & Gray), Tom Lemke (Legg Mason), John Walsh (SEC Associate Director, OCIE Chief Counsel), Ann Oglanian (ReGroup, LLC), Daniel Sibears (FINRA Executive Vice President), Elizabeth Knoblock (Mayer Brown), and Ronald Olmstead (Olmstead Associates, Inc.), plus a strong group of current Chief Compliance Officers from the best firms. And, of course, Ascendant’s team including Keith Marks, Chris Hardy and Sal Papa will be presenting.

Ascendant’s entire conference agenda, speaker list and other details can all be accessed at <http://www.ascendantcompliance.com/conferences.html>. As a service to you, Ascendant has set registration pricing in line with current budgetary considerations. The conference’s New York location makes it easy to attend for maximum benefit.

Ascendant Compliance Management, Inc. provides a full range of compliance management services that can play a vital role in helping investment advisers and broker-dealers meet their regulatory responsibilities, thereby allowing them to focus on their businesses. Ascendant helps companies prepare for registration, provide outsourced compliance management, perform regulatory risk management and infrastructure analysis, and offers due diligence services and compliance training.

