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WEBINAR EVENT - JULY 2006

### COMPLIANCE SURVIVOR

Simplifying Complex Regulatory Concerns

Geared to investment advisers, this online seminar will introduce participants to the myriad of regulatory issues, appropriate means of recordkeeping, and suitability considerations.

From duty to disclose, policies and procedures, and regulatory requirements — to violations, common problems and mistakes — Jeff will facilitate investment advisers' understanding of compliance matters.

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Illinois registered public accountant candidates for CPE credit will receive proof of attendance via email upon completion of the program.

Date: July 27, 2006

Place: Online

Time: 11:00 A.M. CENTRAL

Presented By:

JEFFREY M. GERSHON

**Jeffrey Gershon** is an associate attorney with SNSFE. He concentrates his practice in securities regulatory defense, securities arbitration and compliance matters for broker-dealers, and investment advisers before the Securities and Exchange Commission, the NASD, and securities regulators in all fifty states.

Jeff was the Chief Deputy Commissioner of the Indiana Securities Division, heading the Enforcement Section, where he worked with the SEC, NASD, FBI, U.S. Attorney's Office, county prosecutors and state securities regulators. He also drafted securities regulations and assisted in securities education programs. In addition to his role as Chief Deputy Commissioner, Jeff acted as an enforcement attorney where he represented the State of Indiana in enforcement proceedings against broker-dealers and investment advisers.

He is admitted to practice law before the courts of Illinois, Indiana, and North Carolina, and before the United States District Courts for the Northern District of Illinois, the Northern District of Indiana, and the Southern District of Indiana.

Jeff is a member of the Chicago Bar Association where he is the Vice-Chair of the Financial and Investment Services Committee and the National Society of Compliance Professionals.

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