

**WEBINAR EVENT - SEPTEMBER 2007**

## **ATTENTION INVESTMENT ADVISERS!**

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### **The Top 10 Current Compliance Issues For Investment Advisers**

PRESENTED BY:

**Christopher J. Moyen, J.D.**

**September 25, 2007**

**11:30 A.M. CENTRAL**

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#### **ABOUT THE SPEAKER:**

**CHRISTOPHER J. MOYEN** is an associate attorney in the securities practice at Shaheen, Novoselsky, Staat, Filipowski & Eccleston, P.C.

He concentrates his practice in securities regulatory and compliance matters for broker-dealers, registered representatives and investment advisers before the Securities and Exchange Commission (SEC), the National Association of Securities Dealers (NASD), the New York Stock Exchange (NYSE), and the securities regulators in all fifty states.

Chris has experience in complex commercial and class action litigation, securities arbitration and litigation, and proceedings before the SEC, NASD, NYSE and other regulatory agencies.

Prior to joining SNSFE, Chris was a lead Enforcement Attorney for the Secretary of State of Georgia in the Securities and Business Regulation Division where he reviewed and evaluated formal investigative cases to identify violations of securities laws in conjunction with the SEC, NASD, NYSE, and other regulatory agencies. As lead Enforcement Attorney, he investigated the activities of a national broker-dealer that resulted in the largest securities settlement award in Georgia history.

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